

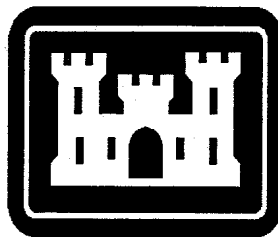
CHANNEL MAINTENANCE

MISSISSIPPI RIVER

**SPECIFICATIONS  
FOR**

# **LITTLE FALLS CHANNEL EXCAVATION**

APRIL 2001



**US Army Corps  
of Engineers**  
St. Paul District

CONSTRUCTION PROJECT DOCUMENTS

ENVIRONMENTAL RESTORATION  
MISSISSIPPI RIVER  
LITTLE FALLS, MINNESOTA

LITTLE FALLS CHANNEL EXCAVATION

TABLE OF CONTENTS

**DIVISION 00 - BIDDING REQUIREMENTS, CONTRACT FORMS AND  
CONDITIONS OF THE CONTRACT**

00010 - SF 1442 AND BIDDING SCHEDULE  
00100 - INSTRUCTIONS, CONDITIONS AND NOTICE TO BIDDERS  
00600 - REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF  
BIDDERS  
00700 - CONTRACT CLAUSES  
00800 - SPECIAL CONTRACT REQUIREMENTS  
00830 - ATTACHMENTS

**VOLUME 1**

**DIVISION 1 - GENERAL**

01000 GENERAL  
01111 WATER QUALITY MONITORING PROGRAM  
01270 MEASUREMENT AND PAYMENT  
01330 SUBMITTAL PROCEDURES  
01355 ENVIRONMENTAL PROTECTION  
01451 CONTRACTOR QUALITY CONTROL  
01500 TEMPORARY CONSTRUCTION FACILITIES  
01567 MINNESOTA POLLUTANT DISCHARGE ELIMINATION SYSTEM

**DIVISION 2 - SITE WORK**

02325 DREDGING  
02327 DISPOSAL AND RECLAMATION  
02388 STONE PROTECTION (ROCKFILL)  
02925 STRIPPING, TOPSOIL AND SEEDING

**DRAWINGS**

ATTACHED UNDER SEPARATE COVER

<b>SOLICITATION, OFFER, AND AWARD</b> <i>(Construction, Alteration, or Repair)</i>	1. SOLICITATION NO. DACW37-01-B-0004	2. TYPE OF SOLICITATION <input checked="checked" type="checkbox"/> SEALED BID (IFB) <input type="checkbox"/> NEGOTIATED (RFP)	3. DATE ISSUED 02-Apr-2001	PAGE OF PAGES 1 OF 136
<b>IMPORTANT - The "offer" section on the reverse must be fully completed by offeror.</b>				
4. CONTRACT NO.		5. REQUISITION/PURCHASE REQUEST NO. W81G67-0341-6462		6. PROJECT NO.
7. ISSUED BY CONTRACTING DIVISION USACE - ST PAUL 190 5TH STREET ST PAUL MN 55101-1638  TEL:                      FAX: 651-290-5706		CODE DACW37	8. ADDRESS OFFER TO <i>(If Other Than Item 7)</i> CODE  <div style="text-align: center; font-weight: bold;">See Item 7</div> TEL:                      FAX:	
9. FOR INFORMATION CALL:	A. NAME LISA P STENSRUD		B. TELEPHONE NO. <i>(Include area code)</i> <i>(NO COLLECT CALLS)</i> 651-290-5416	
SOLICITATION				
<b>NOTE: In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder".</b>				
10. THE GOVERNMENT REQUIRES PERFORMANCE OF THE WORK DESCRIBED IN THESE DOCUMENTS <i>(Title, identifying no., date):</i>  CHANNEL EXCAVATION, MISSISSIPPI RIVER, LITTLE FALLS, MN. Basic work consists of, but is not limited to, furnishing all plant/equipment, labor, and material/supplies necessary to excavate approximately 50,000 cubic yards of sediment from a backwater channel of the Mississippi River in Little Falls, MN and transport the material to a placement site located about 1 mile from the excavation area. Method of excavation for majority of work may consist of hydraulic dredging, mechanical dredging, or dewatered excavation. Related work includes riprap shoreline protection, riprap training dike, capping the placement area, and turf establishment.  THIS PROCUREMENT IS BEING ISSUED FOR FULL AND OPEN COMPETITION. The North American Industrial Classifications Systems Code (NAICS) is 234990 with a small business size standard of \$17.0 Million. The estimated magnitude of construction in terms of physical characteristics and estimated price range is between \$500,000 and \$1,000,000.				
11. The Contractor shall begin performance within <u>10</u> calendar days and complete it within 155 calendar days after receiving <input type="checkbox"/> award, <input checked="checked" type="checkbox"/> notice to proceed. This performance period is <input checked="checked" type="checkbox"/> mandatory, <input type="checkbox"/> negotiable. <i>(See Section 00800 .)</i>				
12 A. THE CONTRACTOR MUST FURNISH ANY REQUIRED PERFORMANCE AND PAYMENT BONDS? <i>(If "YES," indicate within how many calendar days after award in Item 12B.)</i> <input checked="checked" type="checkbox"/> YES <input type="checkbox"/> NO			12B. CALENDAR DAYS  10	
13. ADDITIONAL SOLICITATION REQUIREMENTS:  A. Sealed offers in original and <u>0</u> copies to perform the work required are due at the place specified in Item 8 by <u>14:00:00</u> <i>(hour)</i> local time <u>5/2/01</u> <i>(date)</i> . If this is a sealed bid solicitation, offers must be publicly opened at that time. Sealed envelopes containing offers shall be marked to show the offeror's name and address, the solicitation number, and the date and time offers are due.  B. An offer guarantee <input checked="checked" type="checkbox"/> is, <input type="checkbox"/> is not required.  C. All offers are subject to the (1) work requirements, and (2) other provisions and clauses incorporated in the solicitation in full text or by reference.  D. Offers providing less than <u>60</u> calendar days for Government acceptance after the date offers are due will not be considered and will be rejected.				

<b>SOLICITATION, OFFER, AND AWARD (Continued)</b> <i>(Construction, Alteration, or Repair)</i>										
<b>OFFER (Must be fully completed by offeror)</b>										
14. NAME AND ADDRESS OF OFFEROR <i>(Include ZIP Code)</i>					15. TELEPHONE NO. <i>(Include area code)</i>					
					16. REMITTANCE ADDRESS <i>(Include only if different than Item 14)</i>					
					<b>See Item 14</b>					
CODE		FACILITY CODE								
17. The offeror agrees to perform the work required at the prices specified below in strict accordance with the terms of this solicitation, if this offer is accepted by the Government in writing within _ calendar days after the date offers are due. <i>(Insert any number equal to or greater than the minimum requirements stated in Item 13D. Failure to insert any number means the offeror accepts the minimum in Item 13D.)</i>										
AMOUNTS		SEE SCHEDULE OF PRICES								
18. The offeror agrees to furnish any required performance and payment bonds.										
19. ACKNOWLEDGMENT OF AMENDMENTS <i>(The offeror acknowledges receipt of amendments to the solicitation -- give number and date of each)</i>										
AMENDMENT NO.										
DATE										
20A. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER <i>(Type or print)</i>					20B. SIGNATURE				20C. OFFER DATE	
<b>AWARD (To be completed by Government)</b>										
21. ITEMS ACCEPTED: <div style="font-size: 24pt; font-weight: bold; margin-top: 10px;">SEE SCHEDULE</div>										
22. AMOUNT		23. ACCOUNTING AND APPROPRIATION DATA								
24. SUBMIT INVOICES TO ADDRESS SHOWN IN <i>(4 copies unless otherwise specified)</i>				<b>ITEM</b>	25. OTHER THAN FULL AND OPEN COMPETITION PURSUANT TO <input type="checkbox"/> 10 U.S.C. 2304(c) <input type="checkbox"/> 41 U.S.C. 253(c)					
26. ADMINISTERED BY		CODE					27. PAYMENT WILL BE MADE BY		CODE	
CONTRACTING OFFICER WILL COMPLETE ITEM 28 OR 29 AS APPLICABLE										
<input type="checkbox"/> 28. NEGOTIATED AGREEMENT <i>(Contractor is required to sign this document and return _____ copies to issuing office.)</i> Contractor agrees to furnish and deliver all items or perform all work, requisitions identified on this form and any continuation sheets for the consideration stated in this contract. The rights and obligations of the parties to this contract shall be governed by (a) this contract award, (b) the solicitation, and (c) the clauses, representations, certifications, and specifications or incorporated by reference in or attached to this contract.					<input type="checkbox"/> 29. AWARD <i>(Contractor is not required to sign this document.)</i> Your offer on this solicitation, is hereby accepted as to the items listed. This award consummates the contract, which consists of (a) the Government solicitation and your offer, and (b) this contract award. No further contractual document is necessary.					
30A. NAME AND TITLE OF CONTRACTOR OR PERSON AUTHORIZED TO SIGN <i>(Type or print)</i>					31A. NAME OF CONTRACTING OFFICER <i>(Type or print)</i>					
30B. SIGNATURE			30C. DATE			31B. UNITED STATES OF AMERICA BY			31C. AWARD DATE	

**SECTION 00010 Solicitation Contract Form**

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0001	BONDS FFP	1.00	Lump Sum		
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0002	MOBILIZATION AND DEMOBILIZATION FFP	1.00	Lump Sum		
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0003	MAINTENANCE DEWATERING OF CHANNEL EXCAVATION FFP	1.00	Lump Sum		
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0004	UPPER EAST CHANNEL EXCAVATION FFP	42,200.00	Cubic Yard		
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0005	LOWER EAST CHANNEL DREDGING FFP				

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0005AA	FIRST 3000 CY FFP	3,000.00	Cubic Yard		

\_\_\_\_\_.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0005AB	OVER 3000 CY FFP	1,700.00	Cubic Yard		

\_\_\_\_\_.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0006	ROCKFILL -UPPER EAST CHANNEL BANK PROTECTION FFP	2,400.00	Actual Tons		

\_\_\_\_\_.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0007	ROCKFILL -LOWER EAST CHANNEL BANK PROTECTION FFP	450.00	Actual Tons		

\_\_\_\_\_.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0008		6,150.00	Actual Tons		
	ROCKFILL - ROCK MOUND FLOW TRAINING STRUCTURE				
	FFP				
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0009		1,800.00	Actual Tons		
	ROCKFILL - WEIR AT EAST CHANNEL INLET				
	FFP				
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0010		9,450.00	Cubic Yard		
	COVER SOIL				
	FFP				
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0011		3,150.00	Cubic Yard		
	TOP SOIL				
	FFP				
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0012		11.50	Acre		
	SEEDING AND MULCHING				
	FFP				
				_____.	_____.

ITEM NO	SUPPLIES/SERVICES	QUANTITY	UNIT	UNIT PRICE	AMOUNT
0013	STAGING AREA RECLAMATION FFP	1.00	Lump Sum	_____.	_____.

**TOTAL ESTIMATED AMOUNT** \$ \_\_\_\_\_



## SCHEDULE NOTES:

1. Facsimile of bids/proposals and facsimile of modifications thereto, will not be accepted.
2. All quantities are estimated except where unit is given as "JB" (JOB) or "LS" (LUMP SUM).
3. The apparent low bidder may be requested to provide the following information as soon as possible after bid opening:
  - a. A Financial Statement, to include a balance sheet and income statement, and
  - b. A Bank Certification of Financial Capability (line of credit)

This information will be treated as confidential. The financial statements should not be over 60 days old. If over 60 days old, a certification should be attached stating that the financial condition of the firm is substantially the same or, if not the same, the changes that have taken place.

4. NOTICE TO LARGE BUSINESSES: The U.S. Army Corps of Engineers, St. Paul District, is committed to participation of Small Business, Small Disadvantaged Business and Women-Owned Small Business in the performance of work under this solicitation and resultant contract.

Your attention is directed to solicitation clauses 52.219-8 entitled "Utilization of Small Business Concerns", 52.219-9 ALT I entitled "Small Business Subcontracting Plan", and 252.219-7003 entitled "Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan (DoD Contracts)".

If you are a large business and the successful bidder with a bid exceeding \$1,000,000, submission of a subcontracting plan in accordance with the above clauses will be required. The Contracting Officer will review the plan using the following goals to assure that it represents your best efforts to maximize subcontracting opportunities. Award will not be made until the subcontracting plan is approved by the Contracting Officer.

The following subcontracting goals are informational only and not legally binding but are considered reasonable and achievable during the resultant contract from this solicitation. The goals expressed in percent of total planned subcontracting dollars are:

Small Business-----	61.4%
Small Disadvantaged Business-----	9.1%
Women-Owned Small Business-----	5.0%
HUBZone Small Business-----	Maximum Percent (%) Practicable
Veteran-Owned Small Business-----	3.0%
Subcontract Reporting (SF 294 & SF 295)--	100.0%

4. All extensions of unit prices shown will be subject to verification by the Government. In case of a discrepancy between unit price and the extension, the unit price will govern.
5. The Government may determine a bid is nonresponsive if the prices proposed are materially unbalanced between line items or subline items and the lack of balance is determined by the Contracting Officer to pose an unacceptable risk to the Government. A bid is materially unbalanced when it is based on prices significantly less than cost for some work and prices which are significantly overstated in relation to cost for other work, and if there is reasonable doubt that the bid will result in the lowest overall cost to the Government, even though it may be the low evaluated bid, or it is so unbalanced as to be tantamount to allowing an advance payment.
6. The original bid/proposal and any modifications must be complete as to all the items on the schedule. Award will be made to that bidder whose bid is most advantageous to the Government, based on price and the price related factors included in the solicitation.

## SCHEDULE NOTES (cont'd):

7. Any prospective bidder desiring an explanation or interpretation of the solicitation, drawing, specifications, etc., must request it in writing in accordance with Section 00100, Contract Clause "Explanation to Prospective Bidders", NOT LATER THAN 10 DAYS PRIOR TO BID OPENING. Questions can be faxed to (651)290-5706, Attention Lisa Stensrud or e-mailed to [Lisa.P.Stensrud@mvp02.usace.army.mil](mailto:Lisa.P.Stensrud@mvp02.usace.army.mil) . Questions received after the deadline may not be answered prior to bid submittal.
8. Bidders attention is called to section 00700, Clause 252.204-7004 "Required Central Contractor Registration".
9. Funding for this contract is contingent upon the conditions stated in Section 00800, Clause 52.232-5001, Continuing Contracts.
10. The addresses, phone numbers, and internet addresses (if available) for references cited in these specifications are listed in the Corps of Engineers Guide Specification (CEGS) 01090 SOURCES FOR REFERENCE PUBLICATIONS. CEGS 01090 is available on the TECHINFO page of the Corps of Engineers Huntsville District internet site <http://www.hnd.usace.army.mil/>.
11. The official solicitation is available on CD-ROM and will be automatically mailed to all registered plan holders. HOWEVER, ANY FORTHCOMING AMENDMENTS WILL ONLY BE AVAILABLE ON THE USACE ST. PAUL DISTRICT WORLD WIDE WEB SITE AT <http://mvpwww.mvp.usace.army.mil/ebs/AdvertisedSolicitations.asp> . E-MAIL NOTIFICATIONS WILL BE SENT UPON ISSUANCE OF ANY AMENDMENTS TO ALL REGISTERED PLAN HOLDERS. DUE TO E-MAIL MESSAGE NOTIFICATIONS MAY NOT BE RELIABLE BASED ON SYSTEM CONSTRAINTS, IT IS RECOMMENDED THAT EACH REGISTERED PLAN HOLDER CHECK THE WEB SITE PERIODICALLY FOR UPDATES. A PAPER HARD COPY OF EACH AMENDMENT WILL NOT BE MAILED UNLESS SPECIFICALLY REQUESTED IN WRITING VIA E-MAIL AT [Lisa.P.Stensrud@mvp02.usace.army.mil](mailto:Lisa.P.Stensrud@mvp02.usace.army.mil) OR VIA FACSIMILE AT 651-290-5706 TO THE ATTENTION OF LISA STENSRUD.

**TABLE OF CONTENTS, SECTIONS 00010 THROUGH 00800****SECTION 00010 SOLICITATION CONTRACT FORM..... 3****SECTION 00100 BIDDING SCHEDULE/INSTRUCTIONS TO BIDDERS..... 13**

52.204-6	DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER (JUN 99).....	13
52.209-4001	BIDDER'S QUALIFICATIONS (APR 1984) FAR 9.105-1.....	13
52.214-1	SOLICITATION DEFINITIONS--SEALED BIDDING (JUL 1987).....	14
52.214-3	AMENDMENTS TO INVITATIONS FOR BIDS (DEC 1989) .....	14
52.214-4	FALSE STATEMENTS IN BIDS (APR 1984).....	14
52.214-5	SUBMISSION OF BIDS (MAR 1997) .....	14
52.214-6	EXPLANATION TO PROSPECTIVE BIDDERS (APR 1984) .....	15
52.214-7	LATE SUBMISSIONS, MODIFICATIONS, AND WITHDRAWALS OF BIDS (NOV 1999).....	15
52.214-18	PREPARATION OF BIDS--CONSTRUCTION (APR 1984) .....	16
52.214-19	CONTRACT AWARD--SEALED BIDDING--CONSTRUCTION (AUG 1996).....	16
52.214-34	SUBMISSION OF OFFERS IN THE ENGLISH LANGUAGE (APR 1991) .....	17
52.214-35	SUBMISSION OF OFFERS IN U.S. CURRENCY (APR 1991) .....	17
52.214-4001	INQUIRIES - BID INFORMATION.....	17
52.214-4002	ALL OR NONE QUALIFICATIONS (APR 1984) FAR 14.404-5 .....	17
52.214-5000	ARITHMETIC DISCREPANCIES -- EFARS .....	17
52.225-10	NOTICE OF BUY AMERICAN ACT/BALANCE OF PAYMENTS PROGRAM REQUIREMENT--CONSTRUCTION MATERIALS (FEB 2000) .....	18
52.232-38	SUBMISSION OF ELECTRONIC FUNDS TRANSFER INFORMATION WITH OFFER (MAY 1999).....	19
52.233-2	SERVICE OF PROTEST (AUG 1996) .....	19
52.236-27	SITE VISIT (CONSTRUCTION) (FEB 1995).....	20
52.236-4002	WORK PERFORMED BY THE CONTRACTOR.....	20
52.236-4005	UNAVAILABILITY OF UTILITY SERVICES .....	20
52.252-1	SOLICITATION PROVISIONS INCORPORATED BY REFERENCE (FEB 1998).....	20
52.252-5	AUTHORIZED DEVIATIONS IN PROVISIONS (APR 1984).....	21

**SECTION 00600 REPRESENTATIONS & CERTIFICATIONS..... 22**

52.203-2	CERTIFICATE OF INDEPENDENT PRICE DETERMINATION (APR 1985).....	22
52.203-11	CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (APR 1991) .....	22
52.204-5	WOMEN-OWNED BUSINESS (OTHER THAN SMALL BUSINESS) (MAY 1999) .....	23
52.209-5	CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS (MAR 1996).....	23
52.219-1	SMALL BUSINESS PROGRAM REPRESENTATIONS (OCT 2000) ALTERNATE I (OCT 2000) & ALTERNATE II (OCT 2000).....	24
	(END OF PROVISION) .....	27
52.219-2	EQUAL LOW BIDS. (OCT 1995) .....	27
52.222-22	PREVIOUS CONTRACTS AND COMPLIANCE REPORTS (FEB 1999).....	27
52.223-13	CERTIFICATION OF TOXIC CHEMICAL RELEASE REPORTING (OCT 2000) .....	27
252.209-7001	DISCLOSURE OF OWNERSHIP OR CONTROL BY THE GOVERNMENT OF A TERRORIST COUNTRY (MAR 1998).....	28
252.247-7022	REPRESENTATION OF EXTENT OF TRANSPORTATION BY SEA (AUG 1992).....	29

**SECTION 00700 CONTRACT CLAUSES..... 30**

52.202-1	DEFINITIONS (OCT 1995) --ALTERNATE I (APR 1984).....	30
52.202-4001	DEFINITIONS (MAY 1995) EFARS PART 2.101 .....	30
52.203-3	GRATUITIES (APR 1984).....	31
52.203-5	COVENANT AGAINST CONTINGENT FEES (APR 1984).....	32
52.203-7	ANTI-KICKBACK PROCEDURES. (JUL 1995).....	32

52.203-8	CANCELLATION, RESCISSION, AND RECOVERY OF FUNDS FOR ILLEGAL OR IMPROPER ACTIVITY (JAN 1997).....	33
52.203-10	PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY (JAN 1997).....	34
52.203-12	LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (JUN 1997).....	35
52.204-4	PRINTING/COPYING DOUBLE-SIDED ON RECYCLED PAPER (AUG 2000).....	39
52.209-6	PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT (JUL 1995).....	40
52.211-12	LIQUIDATED DAMAGES--CONSTRUCTION (SEP 2000).....	40
52.211-18	VARIATION IN ESTIMATED QUANTITY (APR 1984).....	41
52.214-26	AUDIT AND RECORDS--SEALED BIDDING. (OCT 1997).....	41
52.214-27	PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA - MODIFICATIONS - SEALED BIDDING. (OCT 1997).....	42
52.214-28	SUBCONTRACTOR COST OR PRICING DATA - MODIFICATIONS - SEALED BIDDING. (OCT 1997).....	43
52.219-4	NOTICE OF PRICE EVALUATION PREFERENCE FOR HUBZONE SMALL BUSINESS CONCERNS (JAN 1999) .....	44
52.219-8	UTILIZATION OF SMALL BUSINESS CONCERNS (OCT 2000) .....	45
52.219-9	SMALL BUSINESS SUBCONTRACTING PLAN (OCT 2000) ALTERNATE I (OCT 2000).....	47
52.219-16	LIQUIDATED DAMAGES-SUBCONTRACTING PLAN (JAN 1999).....	51
52.222-1	NOTICE TO THE GOVERNMENT OF LABOR DISPUTES (FEB 1997).....	52
52.222-3	CONVICT LABOR (AUG 1996).....	52
52.222-4	CONTRACT WORK HOURS AND SAFETY STANDARDS ACT - OVERTIME COMPENSATION. (SEP 2000).....	53
52.222-6	DAVIS-BACON ACT (FEB 1995) .....	53
52.222-7	WITHHOLDING OF FUNDS (FEB 1988).....	55
52.222-8	PAYROLLS AND BASIC RECORDS (FEB 1988) .....	55
52.222-9	APPRENTICES AND TRAINEES (FEB 1988) .....	56
52.222-10	COMPLIANCE WITH COPELAND ACT REQUIREMENTS (FEB 1988) .....	57
52.222-11	SUBCONTRACTS (LABOR STANDARDS (FEB 1988) .....	57
52.222-12	CONTRACT TERMINATION--DEBARMENT (FEB 1988).....	58
52.222-13	COMPLIANCE WITH DAVIS-BACON AND RELATED ACT REGULATIONS (FEB 1988)...	58
52.222-14	DISPUTES CONCERNING LABOR STANDARDS (FEB 1988) .....	58
52.222-15	CERTIFICATION OF ELIGIBILITY (FEB 1988).....	58
52.222-21	PROHIBITION OF SEGREGATED FACILITIES (FEB 1999).....	58
52.222-23	NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION TO ENSURE EQUAL EMPLOYMENT OPPORTUNITY FOR CONSTRUCTION (FEB 1999).....	59
52.222-26	EQUAL OPPORTUNITY (FEB 1999) .....	60
52.222-27	AFFIRMATIVE ACTION COMPLIANCE REQUIREMENTS FOR CONSTRUCTION (FEB 1999).....	61
52.222-35	AFFIRMATIVE ACTION FOR DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA (APR 1998).....	65
52.222-36	AFFIRMATIVE ACTION FOR WORKERS WITH DISABILITIES (JUN 1998).....	67
52.222-37	EMPLOYMENT REPORTS ON DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA (JAN 1999).....	68
52.223-6	DRUG-FREE WORKPLACE (JAN 1997) .....	69
52.223-14	TOXIC CHEMICAL RELEASE REPORTING (OCT 2000) .....	70
52.225-9	BUY AMERICAN ACT--BALANCE OF PAYMENTS PROGRAM--CONSTRUCTION MATERIALS (FEB 2000).....	71
52.225-13	RESTRICTIONS ON CERTAIN FOREIGN PURCHASES (JUL 2000).....	74
52.226-1	UTILIZATION OF INDIAN ORGANIZATIONS AND INDIAN-OWNED ECONOMIC ENTERPRISES (JUN 2000).....	74
52.227-1	AUTHORIZATION AND CONSENT (JUL 1995).....	75
52.227-2	NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT (AUG 1996) .....	76

52.227-4	PATENT INDEMNITY--CONSTRUCTION CONTRACTS (APR 1984) .....	76
52.228-1	BID GUARANTEE (SEP 1996).....	76
52.228-11	PLEDGES OF ASSETS (FEB 1992).....	77
52.228-14	IRREVOCABLE LETTER OF CREDIT (DEC 1999).....	77
52.228-15	PERFORMANCE AND PAYMENT BONDS--CONSTRUCTION (JUL 2000)-.....	81
52.229-3	FEDERAL, STATE, AND LOCAL TAXES (JAN 1991).....	81
52.229-5	TAXES--CONTRACTS PERFORMED IN U.S. POSSESSIONS OR PUERTO RICO (APR 1984) .....	82
52.232-5	PAYMENTS UNDER FIXED-PRICE CONSTRUCTION CONTRACTS (MAY 1997) .....	82
52.232-17	INTEREST (JUNE 1996) .....	85
52.232-23	ASSIGNMENT OF CLAIMS (JAN 1986).....	85
52.232-27	PROMPT PAYMENT FOR CONSTRUCTION CONTRACTS (JUN 1997) .....	86
52.232-33	PAYMENT BY ELECTRONIC FUNDS TRANSFER—CENTRAL CONTRACTOR REGISTRATION (MAY 1999).....	92
52.233-1	DISPUTES. (DEC 1998) .....	94
52.233-3	PROTEST AFTER AWARD (AUG. 1996) .....	95
52.236-1	PERFORMANCE OF WORK BY THE CONTRACTOR (APR 1984) .....	96
52.236-2	DIFFERING SITE CONDITIONS (APR 1984).....	96
52.236-3	SITE INVESTIGATION AND CONDITIONS AFFECTING THE WORK (APR 1984) .....	97
52.236-4	PHYSICAL DATA (APR 1984).....	97
52.236-5	MATERIAL AND WORKMANSHIP (APR 1984).....	98
52.236-6	SUPERINTENDENCE BY THE CONTRACTOR (APR 1984) .....	98
52.236-7	PERMITS AND RESPONSIBILITIES (NOV 1991).....	98
52.236-8	OTHER CONTRACTS (APR 1984) .....	99
52.236-9	PROTECTION OF EXISTING VEGETATION, STRUCTURES, EQUIPMENT, UTILITIES, AND IMPROVEMENTS (APR 1984).....	99
52.236-10	OPERATIONS AND STORAGE AREAS (APR 1984) .....	99
52.236-12	CLEANING UP (APR 1984).....	100
52.236-13	ACCIDENT PREVENTION (NOV 1991) – ALTERNATE I (NOV 1991) .....	100
52.236-15	SCHEDULES FOR CONSTRUCTION CONTRACTS (APR 1984) .....	101
52.236-16	QUANTITY SURVEYS (APR 1984) - ALTERNATE I (APR 1984) .....	101
52.236-17	LAYOUT OF WORK (APR 1984) .....	102
52.236-21	SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION (FEB 1997) - ALTERNATE II (APR 1984).....	102
52.236-26	PRECONSTRUCTION CONFERENCE (FEB 1995) .....	103
52.242-13	BANKRUPTCY (JUL 1995) .....	103
52.242-14	SUSPENSION OF WORK (APR 1984).....	104
52.243-4	CHANGES (AUG 1987) .....	104
52.244-6	SUBCONTRACTS FOR COMMERCIAL ITEMS AND COMMERCIAL COMPONENTS (OCT 1998) .....	105
52.246-12	INSPECTION OF CONSTRUCTION (AUG 1996) .....	105
52.246-21	WARRANTY OF CONSTRUCTION (MAR 1994).....	106
52.247-34	F.O.B. DESTINATION (NOV 1991).....	107
52.248-3	VALUE ENGINEERING--CONSTRUCTION (FEB 2000).....	108
52.249-2	TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (FIXED-PRICE) (SEP 1996) - ALTERNATE I (SEP 1996) .....	111
52.249-10	DEFAULT (FIXED-PRICE CONSTRUCTION) (APR 1984) .....	114
52.252-2	CLAUSES INCORPORATED BY REFERENCE (FEB 1998).....	115
52.252-6	AUTHORIZED DEVIATIONS IN CLAUSES (APR 1984).....	115
52.253-1	COMPUTER GENERATED FORMS (JAN 1991) .....	115
252.201-7000	CONTRACTING OFFICER'S REPRESENTATIVE (DEC 1991).....	115
252.203-7001	PROHIBITION ON PERSONS CONVICTED OF FRAUD OR OTHER DEFENSE- CONTRACT-RELATED FELONIES (MAR 1999) .....	116
252.204-7003	CONTROL OF GOVERNMENT PERSONNEL WORK PRODUCT (APR 1992).....	117
252.204-7004	REQUIRED CENTRAL CONTRACTOR REGISTRATION.(MAR 2000).....	117

252.205-7000	PROVISION OF INFORMATION TO COOPERATIVE AGREEMENT HOLDERS (DEC 1991) .....	118
252.209-7000	ACQUISITION FROM SUBCONTRACTORS SUBJECT TO ONSITE INSPECTION UNDER THE INTERMEDIATE-RANGE NUCLEAR FORCES (INF) TREATY (NOV 1995).....	119
252.209-7003	COMPLIANCE WITH VETERANS' EMPLOYMENT REPORTING REQUIREMENTS (MAR 1998) .....	119
252.209-7004	SUBCONTRACTING WITH FIRMS THAT ARE OWNED OR CONTROLLED BY THE GOVERNMENT OF A TERRORIST COUNTRY (MAR 1998) .....	119
252.219-7003	SMALL, SMALL DISADVANTAGED AND WOMEN-OWNED SMALL BUSINESS SUBCONTRACTING PLAN (DOD CONTRACTS) (APR. 1996).....	120
252.225-7012	PREFERENCE FOR CERTAIN DOMESTIC COMMODITIES (AUG 2000) .....	120
252.225-7031	SECONDARY ARAB BOYCOTT OF ISRAEL (JUN 1992) .....	122
252.227-7033	RIGHTS IN SHOP DRAWINGS (APR 1966) .....	122
252.231-7000	SUPPLEMENTAL COST PRINCIPLES (DEC 1991) .....	122
252.236-7000	MODIFICATION PROPOSALS - PRICE BREAKDOWN. (DEC 1991).....	122
252.236-7001	CONTRACT DRAWINGS, MAPS, AND SPECIFICATIONS (AUG 2000) .....	123
252.236-7002	OBSTRUCTION OF NAVIGABLE WATERWAYS. (DEC 1991) .....	124
252.242-7000	POSTAWARD CONFERENCE (DEC 1991) .....	124
252.243-7001	PRICING OF CONTRACT MODIFICATIONS (DEC 1991) .....	124
252.243-7002	REQUESTS FOR EQUITABLE ADJUSTMENT (MAR 1998).....	125
252.247-7023	TRANSPORTATION OF SUPPLIES BY SEA (MAR 2000) .....	125
252.247-7024	NOTIFICATION OF TRANSPORTATION OF SUPPLIES BY SEA (MAR 2000) .....	128
<b>SECTION 00800 SPECIAL CONTRACT REQUIREMENTS .....</b>		<b>129</b>
52.000-4004	PARTNERING .....	129
52.211-10	COMMENCEMENT, PROSECUTION, AND COMPLETION OF WORK (APR 1984) .....	129
52.212-4003	TIME EXTENSIONS FOR UNUSUALLY SEVERE WEATHER (OCT 1989) ER 415-1-15 129	
52.212-5000	EVALUATION OF SUBDIVIDED ITEMS (MAR 1995)--EFARS .....	130
52.212-5001	VARIATIONS IN ESTIMATED QUANTITIES, SUBDIVIDED ITEMS .....	130
52.228-4003	RAILROAD PROTECTIVE LIABILITY INSURANCE .....	130
52.228-4005	WORK IN MNDOT RIGHT-OF-WAY .....	131
52.228-4022	REQUIREMENT FOR BID GUARANTEE (FAR 28.101-2).....	131
52.231-5000	EQUIPMENT OWNERSHIP AND OPERATING EXPENSE SCHEDULE .....	132
52.232-4004	INVOICE PROCEDURES .....	132
52.236-4012	MATERIAL SOURCES .....	134
52.236-4014	PURCHASE ORDERS .....	134
52.236-4025	FLOATING PLANT EQUIPMENT (MAY 1999) .....	135
52.236-4061	OBSTRUCTION OF CHANNEL.....	135
52.236-4062	SIGNAL LIGHTS (JAN 1965) .....	135
52.236-4063	RADIO .....	135
52.246-4001	LABORATORY AND TESTING FACILITIES .....	136
52.249-5000	BASIS FOR SETTLEMENT OF PROPOSALS .....	136

**SECTION 00100 Bidding Schedule/Instructions to Bidders****CLAUSES INCORPORATED BY FULL TEXT****52.204-6 DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER (JUN 99)**

(a) Contractor identification is essential for complying with statutory contract reporting requirements. Therefore, the offeror is requested to enter, in the block with its name and address on the Standard Form 33 or similar document, the annotation "DUNS" followed by the DUNS number which identifies the offeror's name and address exactly as stated in the offer.

(b) If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one. A DUNS number will be provided immediately by telephone at no charge to the offeror. For information on obtaining a DUNS number, the offeror, if located within the United States, should call Dun and Bradstreet at 1-800-333-0505. The offeror should be prepared to provide the following information:

- (1) Company name.
- (2) Company address.
- (3) Company telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the company was started.
- (7) Number of people employed by the company.
- (8) Company affiliation.

(c) Offerors located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.customerservice@dnb.com/>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dnb.com](mailto:globalinfo@dnb.com).

(End of provision)

**52.209-4001 BIDDER'S QUALIFICATIONS (APR 1984) FAR 9.105-1**

Before a bid is considered for award, the bidder may be requested by the Government to submit a statement regarding his previous experience in performing comparable work, his business and technical organization, financial resources, and plant available to be used in performing the work.

**52.214-1 SOLICITATION DEFINITIONS--SEALED BIDDING (JUL 1987)**

"Government" means United States Government.

"Offer" means "bid" in sealed bidding.

"Solicitation" means an invitation for bids in sealed bidding.

(End of provision)

**52.214-3 AMENDMENTS TO INVITATIONS FOR BIDS (DEC 1989)**

(a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

(b) Bidders shall acknowledge receipt of any amendment to this solicitation (1) by signing and returning the amendment, (2) by identifying the amendment number and date in the space provided for this purpose on the form for submitting a bid, (3) by letter or telegram, or (4) by facsimile, if facsimile bids are authorized in the solicitation. The Government must receive the acknowledgment by the time and at the place specified for receipt of bids.

(End of provision)

**52.214-4 FALSE STATEMENTS IN BIDS (APR 1984)**

Bidders must provide full, accurate, and complete information as required by this solicitation and its attachments. The penalty for making false statements in bids is prescribed in 18 U.S.C. 1001.

(End of provision)

**52.214-5 SUBMISSION OF BIDS (MAR 1997)**

(a) Bids and bid modifications shall be submitted in sealed envelopes or packages (unless submitted by electronic means) (1) addressed to the office specified in the solicitation, and (2) showing the time and date specified for receipt, the solicitation number, and the name and address of the bidder.

(b) Bidders using commercial carrier services shall ensure that the bid is addressed and marked on the outermost envelope or wrapper as prescribed in subparagraphs (a)(1) and (2) of this provision when delivered to the office specified in the solicitation.

(c) Telegraphic bids will not be considered unless authorized by the solicitation; however, bids may be modified or withdrawn by written or telegraphic notice.



- (d) Facsimile bids, modifications, or withdrawals, will not be considered unless authorized by the solicitation.
- (e) Bids submitted by electronic commerce shall be considered only if the electronic commerce method was specifically stipulated or permitted by the solicitation.

**52.214-6 EXPLANATION TO PROSPECTIVE BIDDERS (APR 1984)**

Any prospective bidder desiring an explanation or interpretation of the solicitation, drawings, specifications, etc., must request it in writing soon enough to allow a reply to reach all prospective bidders before the submission of their bids. Oral explanations or instructions given before the award of a contract will not be binding. Any information given a prospective bidder concerning a solicitation will be furnished promptly to all other prospective bidders as an amendment to the solicitation, if that information is necessary in submitting bids or if the lack of it would be prejudicial to other prospective bidders.

(End of provision)

**52.214-7 LATE SUBMISSIONS, MODIFICATIONS, AND WITHDRAWALS OF BIDS (NOV 1999)**

(a) Bidders are responsible for submitting bids, and any modifications or withdrawals, so as to reach the Government office designated in the invitation for bids (IFB) by the time specified in the IFB. If no time is specified in the IFB, the time for receipt is 4:30 p.m., local time, for the designated Government office on the date that bids are due.

(b)(1) Any bid, modification, or withdrawal received at the Government office designated in the IFB after the exact time specified for receipt of bids is "late" and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late bid would not unduly delay the acquisition; and--

(i) If it was transmitted through an electronic commerce method authorized by the IFB, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of bids; or

(ii) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of bids and was under the Government's control prior to the time set for receipt of bids.

(2) However, a late modification of an otherwise successful bid that makes its terms more favorable to the Government, will be considered at any time it is received and may be accepted.

(c) Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the bid wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

(d) If an emergency or unanticipated event interrupts normal Government processes so that bids cannot be received at the Government office designated for receipt of bids by the exact time specified in the IFB and urgent Government requirements preclude amendment of the IFB, the time specified for receipt of bids will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.

(e) Bids may be withdrawn by written notice received at any time before the exact time set for receipt of bids. If the IFB authorizes facsimile bids, bids may be withdrawn via facsimile received at any time before the exact time set for receipt of bids, subject to the conditions specified in the provision at 52.214-31, Facsimile Bids. A bid may be withdrawn in person by a bidder or its authorized representative if, before the exact time set for receipt of bids, the identity of the person requesting withdrawal is established and the person signs a receipt for the bid.

(End of provision)

**52.214-18 PREPARATION OF BIDS--CONSTRUCTION (APR 1984)**

(a) Bids must be (1) submitted on the forms furnished by the Government or on copies of those forms, and (2) manually signed. The person signing a bid must initial each erasure or change appearing on any bid form.

(b) The bid form may require bidders to submit bid prices for one or more items on various bases, including--

(1) Lump sum bidding;

(2) Alternate prices;

(3) Units of construction; or

(4) Any combination of subparagraphs (1) through (3) above.

(c) If the solicitation requires bidding on all items, failure to do so will disqualify the bid. If bidding on all items is not required, bidders should insert the words "no bid" in the space provided for any item on which no price is submitted.

(d) Alternate bids will not be considered unless this solicitation authorizes their submission.

**52.214-19 CONTRACT AWARD--SEALED BIDDING--CONSTRUCTION (AUG 1996)**

(a) The Government will evaluate bids in response to this solicitation without discussions and will award a contract to the responsible bidder whose bid, conforming to the solicitation, will be most advantageous to the Government, considering only price and the price-related factors specified elsewhere in the solicitation.

(b) The Government may reject any or all bids, and waive informalities or minor irregularities in bids received.

(c) The Government may accept any item or combination of items, unless doing so is precluded by a restrictive limitation in the solicitation or the bid.

(d) The Government may reject a bid as nonresponsive if the prices bid are materially unbalanced between line items or subline items. A bid is materially unbalanced when it is based on prices significantly less than cost for some work and prices which are significantly overstated in relation to cost for other work, and if there is a reasonable doubt that the bid will result in the lowest overall cost to the Government even though it may be the low evaluated bid, or if it is so unbalanced as to be tantamount to allowing an advance payment.

**52.214-34 SUBMISSION OF OFFERS IN THE ENGLISH LANGUAGE (APR 1991)**

Offers submitted in response to this solicitation shall be in the English language. Offers received in other than English shall be rejected.

(End of provision)

**52.214-35 SUBMISSION OF OFFERS IN U.S. CURRENCY (APR 1991)**

Offers submitted in response to this solicitation shall be in terms of U.S. dollars. Offers received in other than U.S. dollars shall be rejected.

(End of provision)

**52.214-4001 INQUIRIES - BID INFORMATION**

(a) Inquiries:

Any questions regarding this solicitation should be directed to Lisa P. Stensrud, Contract Specialist, at telephone number (651) 290-5416 (collect calls not accepted). It is requested that all technical questions on the plans and specifications be submitted to the Contract Specialist by facsimile transmission to (651) 290-5706.

The Planholder's List and bid results can be found on the St. Paul District web site at <http://www.mvp.usace.army.mil> (click on "Contracting/Bidders Info", then "Electronic Bid Solicitations").

(b) Bid Depository/Bid Opening Information:

Bids must be deposited prior to the date and time set for opening of bids. The bid depository is located in the Contracting Division, 6<sup>th</sup> Floor, of the St. Paul District, Corps of Engineers Centre, 190 Fifth Street East, St. Paul, Minnesota 55101-1638. A public bid opening will be held at the same location.

**52.214-4002 ALL OR NONE QUALIFICATIONS (APR 1984) FAR 14.404-5**

A bidder/offeror must quote on all items in this solicitation to be eligible for award. The Government will award on a "All or None" basis. Evaluation of bids/offers will be based, among other factors, upon the total price quoted for all items.

**52.214-5000 ARITHMETIC DISCREPANCIES -- EFARS**

(a) For the purpose of initial evaluations of bids, the following will be utilized in the resolving arithmetic discrepancies found on the face of bidding schedule as submitted by the bidder:

(1) Obviously misplaced decimal points will be corrected;

- (2) Discrepancy between unit price and extended price, the unit price will govern;
- (3) Apparent errors in extension of unit prices will be corrected;
- (4) Apparent errors in addition of lump-sum and extended prices will be corrected.

(b) For the purpose of bid evaluation, the government will proceed on the assumption that the bidder intends his bid to be evaluated on basis of the unit prices, the totals arrived at by resolution of arithmetic discrepancies as provided above and the bid will be so reflected on the abstract of bids.

- (c) These correction procedures shall not be used to resolve any ambiguity concerning which bid is low.  
(End of statement)

**52.225-10 NOTICE OF BUY AMERICAN ACT/BALANCE OF PAYMENTS PROGRAM REQUIREMENT--CONSTRUCTION MATERIALS (FEB 2000)**

(a) Definitions. Construction material, domestic construction material, and foreign construction material, as used in this provision, are defined in the clause of this solicitation entitled "Buy American Act--Balance of Payments Program--Construction Materials" (Federal Acquisition Regulation (FAR) clause 52.225-9).

(b) Requests for determinations of inapplicability. An offeror requesting a determination regarding the inapplicability of the Buy American Act or Balance of Payments Program should submit the request to the Contracting Officer in time to allow a determination before submission of offers. The offeror shall include the information and applicable supporting data required by paragraphs (c) and (d) of the clause at FAR 52.225-9 in the request. If an offeror has not requested a determination regarding the inapplicability of the Buy American Act or Balance of Payments Program before submitting its offer, or has not received a response to a previous request, the offeror shall include the information and supporting data in the offer.

(c) Evaluation of offers. (1) The Government will evaluate an offer requesting exception to the requirements of the Buy American Act or Balance of Payments Program, based on claimed unreasonable cost of domestic construction material, by adding to the offered price the appropriate percentage of the cost of such foreign construction material, as specified in paragraph (b)(3)(i) of the clause at FAR 52.225-9.

(2) If evaluation results in a tie between an offeror that requested the substitution of foreign construction material based on unreasonable cost and an offeror that did not request an exception, the Contracting Officer will award to the offeror that did not request an exception based on unreasonable cost.

(d) Alternate offers.

(1) When an offer includes foreign construction material not listed by the Government in this solicitation in paragraph (b)(2) of the clause at FAR 52.225-9, the offeror also may submit an alternate offer based on use of equivalent domestic construction material.

(2) If an alternate offer is submitted, the offeror shall submit a separate Standard Form 1442 for the alternate offer, and a separate price comparison table prepared in accordance with paragraphs (c) and (d) of the clause at FAR 52.225-9 for the offer that is based on the use of any foreign construction material for which the Government has not yet determined an exception applies.

(3) If the Government determines that a particular exception requested in accordance with paragraph (c) of the clause at FAR 52.225-9 does not apply, the Government will evaluate only those offers based on use of the equivalent domestic construction material, and the offeror shall be required to furnish such domestic construction material. An offer based on use of the foreign construction material for which an exception was requested--

(i) Will be rejected as nonresponsive if this acquisition is conducted by sealed bidding; or

(ii) May be accepted if revised during negotiations.

(End of provision)

**52.232-38 SUBMISSION OF ELECTRONIC FUNDS TRANSFER INFORMATION WITH OFFER (MAY 1999)**

The offeror shall provide, with its offer, the following information that is required to make payment by electronic funds transfer (EFT) under any contract that results from this solicitation. This submission satisfies the requirement to provide EFT information under paragraphs (b)(1) and (j) of the clause at 52.232-34, Payment by Electronic Funds Transfer--Other than Central Contractor Registration.

- (1) The solicitation number (or other procurement identification number).
- (2) The offeror's name and remittance address, as stated in the offer.
- (3) The signature (manual or electronic, as appropriate), title, and telephone number of the offeror's official authorized to provide this information.
- (4) The name, address, and 9-digit Routing Transit Number of the offeror's financial agent.
- (5) The offeror's account number and the type of account (checking, savings, or lockbox).
- (6) If applicable, the Fedwire Transfer System telegraphic abbreviation of the offeror's financial agent.
- (7) If applicable, the offeror shall also provide the name, address, telegraphic abbreviation, and 9-digit Routing Transit Number of the correspondent financial institution receiving the wire transfer payment if the offeror's financial agent is not directly on-line to the Fedwire and, therefore, not the receiver of the wire transfer payment.

(End of provision)

**52.233-2 SERVICE OF PROTEST (AUG 1996)**

(a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from

US Army Corps of Engineers  
St Paul District  
Thomas H. Koopmeiners, Contracting Officer  
190 5<sup>th</sup> Street East  
St Paul, MN 55101-1638

(b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

(End of provision)

**52.236-27 SITE VISIT (CONSTRUCTION) (FEB 1995)**

(a) The clauses at 52.236-2, Differing Site Conditions, and 52.236-3, Site Investigations and Conditions Affecting the Work, will be included in any contract awarded as a result of this solicitation. Accordingly, offerors or quoters are urged and expected to inspect the site where the work will be performed.

(b) Site visits may be arranged during normal duty hours by contacting:

Name: Dave Nelson  
US Army Corps of Engineers  
Western Area Construction Office  
Address: Pine River Dam  
Box 36  
Crosslake, MN 56442-0036  
Telephone: 218-692-5020

**52.236-4002 WORK PERFORMED BY THE CONTRACTOR**

The successful bidder must furnish the Contracting Officer within 10 days after the award, the items of work which he will perform with his own forces, the percentage of the total work this represents, and the estimated cost thereof. (See Section 00700, clause entitled Performance of Work by the Contractor, FAR 52.236-1.)

**52.236-4005 UNAVAILABILITY OF UTILITY SERVICES**

The responsibility shall be upon the Contractor to provide and maintain at its expense, adequate utilities for its use for construction and domestic consumption, and to install and maintain necessary connections and lines for same, but only at such locations and in such manner as may be approved by the Contracting Officer. Before final acceptance, temporary connections and lines installed by the Contractor shall be removed in a manner satisfactory to the Contracting Officer.

**52.252-1 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE (FEB 1998)**

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this/these address(es):

<http://www.arnet.gov/far>

**52.252-5 AUTHORIZED DEVIATIONS IN PROVISIONS (APR 1984)**

(a) The use in this solicitation of any Federal Acquisition Regulation (48 CFR Chapter 1) provision with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the provision.

(b) The use in this solicitation of any **FAR** (48 CFR Chapter **1**) provision with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.

**SECTION 00600 Representations & Certifications****CLAUSES INCORPORATED BY FULL TEXT****52.203-2 CERTIFICATE OF INDEPENDENT PRICE DETERMINATION (APR 1985)**

(a) The offeror certifies that --

(1) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror or competitor relating to (i) those prices, (ii) the intention to submit an offer, or (iii) the methods of factors used to calculate the prices offered:

(2) The prices in this offer have not been and will not be knowingly disclosed by the offeror, directly or indirectly, to any other offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.

(b) Each signature on the offer is considered to be a certification by the signatory that the signatory --

(1) Is the person in the offeror's organization responsible for determining the prices offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contradictory to subparagraphs (a)(1) through (a)(3) above; or

(2) (i) Has been authorized, in writing, to act as an agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) above \_\_\_\_\_ (insert full name of person(s) in the offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the offeror's organization);

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) above have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above; and

(iii) As an agent, has not personally participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) above.

(c) If the offeror deletes or modifies subparagraph (a)(2) above, the offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.

(End of clause)

**52.203-11 CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (APR 1991)**



(a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this Certification.

(b) The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989,--

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress on his or her behalf in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and

(3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes an expenditure prohibited under this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

(End of provision)

**52.204-5 WOMEN-OWNED BUSINESS (OTHER THAN SMALL BUSINESS) (MAY 1999)**

(a) Definition. Women-owned business concern, as used in this provision, means a concern that is at least 51 percent owned by one or more women; or in the case of any publicly owned business, at least 51 percent of its stock is owned by one or more women; and whose management and daily business operations are controlled by one or more women.

(b) Representation. [Complete only if the offeror is a women-owned business concern and has not represented itself as a small business concern in paragraph (b)(1) of FAR 52.219-1, Small Business Program Representations, of this solicitation.] The offeror represents that it ( ) is a women-owned business concern.

(End of provision)

**52.209-5 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS (MAR 1996)**

(a)(1) The Offeror certifies, to the best of its knowledge and belief, that--

(i) The Offeror and/or any of its Principals--

(A) Are ☐ are not ☐ presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

(B) Have ☐ have not ☐, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and

(C) Are ☐ are not ☐ presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in subdivision (a)(1)(i)(B) of this provision.

(ii) The Offeror has ☐ has not ☐, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER SECTION 1001, TITLE 18, UNITED STATES CODE.

(b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror nonresponsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

(End of provision)

**52.219-1 SMALL BUSINESS PROGRAM REPRESENTATIONS (OCT 2000) ALTERNATE I (OCT 2000) & ALTERNATE II (OCT 2000)**

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is 234990.

(2) The small business size standard is \$17.0 Million.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations. (1) The offeror represents as part of its offer that it ( ) is, ( ) is not a small business concern.

(2) (Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.) The offeror represents, for general statistical purposes, that it ( ) is, ( ) is not a small disadvantaged business concern as defined in 13 CFR 124-1002.

(3) (Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.) The offeror represents as part of its offer that it ( ) is, ( ) is not a women-owned small business concern.

(4) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it [ ] is, [ ] is not a veteran-owned small business concern.

(5) [Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (b)(4) of this provision.] The offeror represents as part of its offer that it [ ] is, [ ] is not a service-disabled veteran-owned small business concern.

(6) [Complete only if offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, as part of its offer, that--

(i) It \_\_\_\_ is, \_\_\_\_ is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR Part 126; and

(ii) It \_\_\_\_ is, \_\_\_\_ is not a joint venture that complies with the requirements of 13 CFR Part 126, and the representation in paragraph (b)(6)(i) of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. [The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture: \_\_\_\_\_.] Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.

(7) [Complete if offeror represented itself as disadvantaged in paragraph (b)(2) of this provision.] The offeror shall check the category in which its ownership falls:

\_\_\_\_ Black American.

\_\_\_\_ Hispanic American.

\_\_\_\_ Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians).

\_\_\_\_ Asian-Pacific American (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru).

\_\_\_\_ Subcontinent Asian (Asian-Indian) American (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal).

\_\_\_\_ Individual/concern, other than one of the preceding.

## (c) Service-disabled veteran-owned small business concern--

## (1) Means a small business concern--

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

"Small business concern," as used in this provision, means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR Part 121 and the size standard in paragraph (a) of this provision.

Small disadvantaged business concern, as used in this provision, means a small business concern that (1) is at least 51 percent unconditionally owned by one or more individuals who are both socially and economically disadvantaged, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one or more socially and economically disadvantaged individuals, and (2) has its management and daily business controlled by one or more such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one or more of these entities, which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization, and which meets the requirements of 13 CFR Part 124.

## Veteran-owned small business concern means a small business concern--

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

(d) Notice. (1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end items to be furnished.

(2) Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall--

(i) Be punished by imposition of fine, imprisonment, or both;

(ii) Be subject to administrative remedies, including suspension and debarment; and

(iii) Be ineligible for participation in programs conducted under the authority of the Act.

*(End of provision)*

**52.219-2 EQUAL LOW BIDS. (OCT 1995)**

(a) This provision applies to small business concerns only.

(b) The bidder's status as a labor surplus area (LSA) concern may affect entitlement to award in case of tie bids. If the bidder wishes to be considered for this priority, the bidder must identify, in the following space, the LSA in which the costs to be incurred on account of manufacturing or production (by the bidder or the first-tier subcontractors) amount to more than 50 percent of the contract price.

---



---

(c) Failure to identify the labor surplus area as specified in paragraph (b) of this provision will preclude the bidder from receiving priority consideration. If the bidder is awarded a contract as a result of receiving priority consideration under this provision and would not have otherwise received award, the bidder shall perform the contract or cause the contract to be performed in accordance with the obligations of an LSA concern.

**52.222-22 PREVIOUS CONTRACTS AND COMPLIANCE REPORTS (FEB 1999)**

The offeror represents that --

(a) ☐ It has, ☐ has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation;

(b) ☐ It has, ☐ has not, filed all required compliance reports; and

(c) Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract awards.

*(End of provision)*

**52.223-13 CERTIFICATION OF TOXIC CHEMICAL RELEASE REPORTING (OCT 2000)**

(a) Submission of this certification is a prerequisite for making or entering into this contract imposed by Executive Order 12969, August 8, 1995.

(b) By signing this offer, the offeror certifies that--

(1) As the owner or operator of facilities that will be used in the performance of this contract that are subject to the filing and reporting requirements described in section 313 of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) (42 U.S.C. 11023) and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106), the offeror will file and continue to file for such facilities for the life of the contract the Toxic Chemical Release Inventory Form (Form R) as described in sections 313(a) and (g) of EPCRA and section 6607 of PPA; or

(2) None of its owned or operated facilities to be used in the performance of this contract is subject to the Form R filing and reporting requirements because each such facility is exempt for at least one of the following reasons: (Check each block that is applicable.)

☐ (i) The facility does not manufacture, process or otherwise use any toxic chemicals listed under section 313(c) of EPCRA, 42 U.S.C. 11023(c);

☐ (ii) The facility does not have 10 or more full-time employees as specified in section 313.(b)(1)(A) of EPCRA 42 U.S.C. 11023(b)(1)(A);

☐ (iii) The facility does not meet the reporting thresholds of toxic chemicals established under section 313(f) of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA);

☐ (iv) The facility does not fall within Standard Industrial Classification Code (SIC) major groups 20 through 39 or their corresponding North American Industry Classification System (NAICS) sectors 31 through 33; or

☐ (v) The facility is not located within any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the United States Virgin Islands, the Northern Mariana Islands, or any other territory or possession over which the United States has jurisdiction.

**252.209-7001 DISCLOSURE OF OWNERSHIP OR CONTROL BY THE GOVERNMENT OF A TERRORIST COUNTRY (MAR 1998)**

(a) "Definitions."

As used in this provision --

(a) "Government of a terrorist country" includes the state and the government of a terrorist country, as well as any political subdivision, agency, or instrumentality thereof.

(2) "Terrorist country" means a country determined by the Secretary of State, under section 6(j)(1)(A) of the Export Administration Act of 1979 (50 U.S.C. App. 2405(j)(i)(A)), to be a country the government of which has repeatedly provided support for such acts of international terrorism. As of the date of this provision, terrorist countries include: Cuba, Iran, Iraq, Libya, North Korea, Sudan, and Syria.

(3) "Significant interest" means --

(i) Ownership of or beneficial interest in 5 percent or more of the firm's or subsidiary's securities. Beneficial interest includes holding 5 percent or more of any class of the firm's securities in "nominee shares," "street names," or some other method of holding securities that does not disclose the beneficial owner;

(ii) Holding a management position in the firm, such as a director or officer;

(iii) Ability to control or influence the election, appointment, or tenure of directors or officers in the firm;

(iv) Ownership of 10 percent or more of the assets of a firm such as equipment, buildings, real estate, or other tangible assets of the firm; or

(v) Holding 50 percent or more of the indebtedness of a firm.

(b) "Prohibition on award."

In accordance with 10 U.S.C. 2327, no contract may be awarded to a firm or a subsidiary of a firm if the government of a terrorist country has a significant interest in the firm or subsidiary or, in the case of a subsidiary, the firm that owns the subsidiary, unless a waiver is granted by the Secretary of Defense.

(c) "Disclosure."

If the government of a terrorist country has a significant interest in the Offeror or a subsidiary of the Offeror, the Offeror shall disclose such interest in an attachment to its offer. If the Offeror is a subsidiary, it shall also disclose any significant interest the government of a terrorist country has in any firm that owns or controls the subsidiary. The disclosure shall include --

(1) Identification of each government holding a significant interest; and

(2) A description of the significant interest held by each government.

(End of provision)

**252.247-7022 REPRESENTATION OF EXTENT OF TRANSPORTATION BY SEA (AUG 1992)**

(a) The Offeror shall indicate by checking the appropriate blank in paragraph (b) of this provision whether transportation of supplies by sea is anticipated under the resultant contract. The term supplies is defined in the Transportation of Supplies by Sea clause of this solicitation.

(b) Representation. The Offeror represents that it:

\_\_\_\_ (1) Does anticipate that supplies will be transported by sea in the performance of any contract or subcontract resulting from this solicitation.

\_\_\_\_ (2) Does not anticipate that supplies will be transported by sea in the performance of any contract or subcontract resulting from this solicitation.

(c) Any contract resulting from this solicitation will include the Transportation of Supplies by Sea clause. If the Offeror represents that it will not use ocean transportation, the resulting contract will also include the Defense FAR Supplement clause at 252.247-7024, Notification of Transportation of Supplies by Sea.

(End of provision)

**SECTION 00700 Contract Clauses**

## CLAUSES INCORPORATED BY FULL TEXT

**52.202-1 DEFINITIONS (OCT 1995) --ALTERNATE I (APR 1984)**

(a) "Head of the agency" (also called "agency head") or "Secretary" means the Secretary (or Attorney General, Administrator, Governor, Chairperson, or other chief official, as appropriate) of the agency, including any deputy or assistant chief official of the agency; and the term "authorized representative" means any person, persons, or board (other than the Contracting Officer) authorized to act for the head of the agency or Secretary.

(b) "Commercial component" means any component that is a commercial item.

(c) "Component" means any item supplied to the Federal Government as part of an end item or of another component.

(d) "Nondevelopmental item" means--

(1) Any previously developed item of supply used exclusively for governmental purposes by a Federal agency, a State or local government, or a foreign government with which the United States has a mutual defense cooperation agreement;

(2) Any item described in paragraph (e)(1) of this definition that requires only minor modification or modifications of a type customarily available in the commercial marketplace in order to meet the requirements of the procuring department or agency; or

(3) Any item of supply being produced that does not meet the requirements of paragraph (e)(1) or (e)(2) solely because the item is not yet in use.

(e) "Contracting Officer" means a person with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings. The term includes certain authorized representatives of the Contracting Officer acting within the limits of their authority as delegated by the Contracting Officer.

(f) Except as otherwise provided in this contract, the term "subcontracts" includes, but is not limited to, purchase orders and changes and modifications to purchase orders under this contract.

**52.202-4001 DEFINITIONS (MAY 1995) EFARS Part 2.101**

"Chief of Contracting Office" means the Chief of the Contracting Division at a District, or the Director of Contracting at a Division, Center, Laboratory, or other support activity.



"Command" means each USACE Division, each USACE District, The U.S. Army Engineering and Support Center (HNC), Transatlantic Programs Center (TAC), Transatlantic Programs Center (Europe) (TAE), Topographic Engineer Center (TEC), Cold Regions Research and Engineering Laboratory (CRREL), Construction Engineering Research Laboratory (CERL), Humphreys Engineering Center Support Activity (HECSA), and Waterways experiment Station (WES).

"Commander" means the commanding officer of each USACE district and each USACE division, and the director or commander of HNC, TAC, TAE, ETL, CRREL, CERL, HECSA and WES.

"Head of Contracting Activity (HCA)" for USACE means the Chief of Engineers.

Centers. For determining contracting authority levels for this regulation, Centers (HNC, and TAC) will equate to a Division. As a subordinate unit to TAC, TAE's contracting authority will therefore equate to that of a district.

Level higher than the contracting officer. When a District or TAE chief of contracting is the contracting officer, a "level higher than the contracting officer" means the Division or Center Director of Contracting. When an operating Division, Center or Laboratory Director/Chief of Contracting is the contracting officer a "level higher than the contracting officer" means the PARC.

Local Cooperation Agreements (LCAs). See Project Cooperation Agreements.

Project Cooperation Agreements. Formerly referred to as Local Cooperation Agreements, these are agreements under 31 U.S.C. 6305 and 42 U.S.C. 1962d-5b. They are not contracts as defined by the FAR.

"USACE and HQUSACE" means the United States Army Corps of Engineers and its headquarters, respectively.

### **52.203-3 GRATUITIES (APR 1984)**

(a) The right of the Contractor to proceed may be terminated by written notice if, after notice and hearing, the agency head or a designee determines that the Contractor, its agent, or another representative--

(1) Offered or gave a gratuity (e.g., an entertainment or gift) to an officer, official, or employee of the Government; and

(2) Intended, by the gratuity, to obtain a contract or favorable treatment under a contract.

(b) The facts supporting this determination may be reviewed by any court having lawful jurisdiction.

(c) If this contract is terminated under paragraph (a) of this clause, the Government is entitled--

(1) To pursue the same remedies as in a breach of the contract; and

(2) In addition to any other damages provided by law, to exemplary damages of not less than 3 nor more than 10 times the cost incurred by the Contractor in giving gratuities to the person concerned, as determined by the agency head or a designee. (This subparagraph (c)(2) is applicable only if this contract uses money appropriated to the Department of Defense.)

(d) The rights and remedies of the Government provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under this contract.

(End of clause)

**52.203-5 COVENANT AGAINST CONTINGENT FEES (APR 1984)**

(a) The Contractor warrants that no person or agency has been employed or retained to solicit or obtain this contract upon an agreement or understanding for a contingent fee, except a bona fide employee or agency. For breach or violation of this warranty, the Government shall have the right to annul this contract without liability or, in its discretion, to deduct from the contract price or consideration, or otherwise recover, the full amount of the contingent fee.

(b) "Bona fide agency," as used in this clause, means an established commercial or selling agency, maintained by a contractor for the purpose of securing business, that neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds itself out as being able to obtain any Government contract or contracts through improper influence.

"Bona fide employee," as used in this clause, means a person, employed by a contractor and subject to the contractor's supervision and control as to time, place, and manner of performance, who neither exerts nor proposes to exert improper influence to solicit or obtain Government contracts nor holds out as being able to obtain any Government contract or contracts through improper influence.

"Contingent fee," as used in this clause, means any commission, percentage, brokerage, or other fee that is contingent upon the success that a person or concern has in securing a Government contract.

"Improper influence," as used in this clause, means any influence that induces or tends to induce a Government employee or officer to give consideration or to act regarding a Government contract on any basis other than the merits of the matter.

(End of clause)

**52.203-7 ANTI-KICKBACK PROCEDURES. (JUL 1995)**

(a) Definitions.

"Kickback," as used in this clause, means any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind which is provided, directly or indirectly, to any prime Contractor, prime Contractor employee, subcontractor, or subcontractor employee for the purpose of improperly obtaining or rewarding favorable treatment in connection with a prime contract or in connection with a subcontract relating to a prime contract.

"Person," as used in this clause, means a corporation, partnership, business association of any kind, trust, joint-stock company, or individual.

"Prime contract," as used in this clause, means a contract or contractual action entered into by the United States for the purpose of obtaining supplies, materials, equipment, or services of any kind.

"Prime Contractor," as used in this clause, means a person who has entered into a prime contract with the United States.

"Prime Contractor employee," as used in this clause, means any officer, partner, employee, or agent of a prime Contractor.

"Subcontract," as used in this clause, means a contract or contractual action entered into by a prime Contractor or subcontractor for the purpose of obtaining supplies, materials, equipment, or services of any kind under a prime

contract.

"Subcontractor," as used in this clause, (1) means any person, other than the prime Contractor, who offers to furnish or furnishes any supplies, materials, equipment, or services of any kind under a prime contract or a subcontract entered into in connection with such prime contract, and (2) includes any person who offers to furnish or furnishes general supplies to the prime Contractor or a higher tier subcontractor.

"Subcontractor employee," as used in this clause, means any officer, partner, employee, or agent of a subcontractor.

(b) The Anti-Kickback Act of 1986 (41 U.S.C. 51-58) (the Act), prohibits any person from -

(1) Providing or attempting to provide or offering to provide any kickback;

(2) Soliciting, accepting, or attempting to accept any kickback; or

(3) Including, directly or indirectly, the amount of any kickback in the contract price charged by a prime Contractor to the United States or in the contract price charged by a subcontractor to a prime Contractor or higher tier subcontractor.

(c)(1) The Contractor shall have in place and follow reasonable procedures designed to prevent and detect possible violations described in paragraph (b) of this clause in its own operations and direct business relationships.

(2) When the Contractor has reasonable grounds to believe that a violation described in paragraph (b) of this clause may have occurred, the Contractor shall promptly report in writing the possible violation. Such reports shall be made to the inspector general of the contracting agency, the head of the contracting agency if the agency does not have an inspector general, or the Department of Justice.

(3) The Contractor shall cooperate fully with any Federal agency investigating a possible violation described in paragraph (b) of this clause.

(4) The Contracting Officer may (i) offset the amount of the kickback against any monies owed by the United States under the prime contract and/or (ii) direct that the Prime Contractor withhold, from sums owed a subcontractor under the prime contract, the amount of any kickback. The Contracting Officer may order the monies withheld under subdivision (c)(4)(ii) of this clause be paid over to the Government unless the Government has already offset those monies under subdivision (c)(4)(i) of this clause. In either case, the Prime Contractor shall notify the Contracting Officer when the monies are withheld.

(5) The Contractor agrees to incorporate the substance of this clause, including this subparagraph (c)(5) but excepting subparagraph (c)(1), in all subcontracts under this contract which exceed \$100,000.

**52.203-8 CANCELLATION, RESCISSION, AND RECOVERY OF FUNDS FOR ILLEGAL OR IMPROPER ACTIVITY (JAN 1997)**

(a) If the Government receives information that a contractor or a person has engaged in conduct constituting a violation of subsection (a), (b), (c), or (d) of Section 27 of the Office of Federal Procurement Policy Act (41 U.S.C. 423) (the Act), as amended by section 4304 of the 1996 National Defense Authorization Act for Fiscal Year 1996 (Pub. L. 104-106), the Government may--

(1) Cancel the solicitation, if the contract has not yet been awarded or issued; or

(2) Rescind the contract with respect to which--

(i) The Contractor or someone acting for the Contractor has been convicted for an offense where the conduct constitutes a violation of subsection 27 (a) or (b) of the Act for the purpose of either--

(A) Exchanging the information covered by such subsections for anything of value; or

(B) Obtaining or giving anyone a competitive advantage in the award of a Federal agency procurement contract; or

(ii) The head of the contracting activity has determined, based upon a preponderance of the evidence, that the Contractor or someone acting for the Contractor has engaged in conduct constituting an offense punishable under subsections 27(e)(1) of the Act.

(b) If the Government rescinds the contract under paragraph (a) of this clause, the Government is entitled to recover, in addition to any penalty prescribed by law, the amount expended under the contract.

(c) The rights and remedies of the Government specified herein are not exclusive, and are in addition to any other rights and remedies provided by law, regulation, or under this contract.

**52.203-10 PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY (JAN 1997)**

(a) The Government, at its election, may reduce the price of a fixed-price type contract and the total cost and fee under a cost-type contract by the amount of profit or fee determined as set forth in paragraph (b) of this clause if the head of the contracting activity or designee determines that there was a violation of subsection 27 (a), (b), or (c) of the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 423), as implemented in section 3.104 of the Federal Acquisition Regulation.

(b) The price or fee reduction referred to in paragraph (a) of this clause shall be--

(1) For cost-plus-fixed-fee contracts, the amount of the fee specified in the contract at the time of award;

(2) For cost-plus-incentive-fee contracts, the target fee specified in the contract at the time of award, notwithstanding any minimum fee or "fee floor" specified in the contract;

(3) For cost-plus-award-fee contracts--

(i) The base fee established in the contract at the time of contract award;

(ii) If no base fee is specified in the contract, 30 percent of the amount of each award fee otherwise payable to the Contractor for each award fee evaluation period or at each award fee determination point.

(4) For fixed-price-incentive contracts, the Government may--

(i) Reduce the contract target price and contract target profit both by an amount equal to the initial target profit specified in the contract at the time of contract award; or

(ii) If an immediate adjustment to the contract target price and contract target profit would have a significant adverse impact on the incentive price revision relationship under the contract, or adversely affect the contract financing provisions, the Contracting Officer may defer such adjustment until establishment of the total final price of the

contract. The total final price established in accordance with the incentive price revision provisions of the contract shall be reduced by an amount equal to the initial target profit specified in the contract at the time of contract award and such reduced price shall be the total final contract price.

(5) For firm-fixed-price contracts, by 10 percent of the initial contract price or a profit amount determined by the Contracting Officer from records or documents in existence prior to the date of the contract award.

(c) The Government may, at its election, reduce a prime contractor's price or fee in accordance with the procedures of paragraph (b) of this clause for violations of the Act by its subcontractors by an amount not to exceed the amount of profit or fee reflected in the subcontract at the time the subcontract was first definitively priced.

(d) In addition to the remedies in paragraphs (a) and (c) of this clause, the Government may terminate this contract for default. The rights and remedies of the Government specified herein are not exclusive, and are in addition to any other rights and remedies provided by law or under this contract.

(End of clause)

**52.203-12 LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (JUN 1997)**

(a) Definitions.

"Agency," as used in this clause, means executive agency as defined in 2.101.

"Covered Federal action," as used in this clause, means any of the following Federal actions:

- (1) The awarding of any Federal contract.
- (2) The making of any Federal grant.
- (3) The making of any Federal loan.
- (4) The entering into of any cooperative agreement.
- (5) The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

"Indian tribe" and "tribal organization," as used in this clause, have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B) and include Alaskan Natives.

"Influencing or attempting to influence," as used in this clause, means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government," as used in this clause, means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of governments, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency," as used in this clause, includes the following individuals who are employed by an agency:

(1) An individual who is appointed to a position in the Government under title 5, United States Code, including a position under a temporary appointment.

(2) A member of the uniformed services, as defined in subsection 101(3), title 37, United States Code.

(3) A special Government employee, as defined in section 202, title 18, United States Code.

(4) An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, United States Code, appendix 2.

"Person," as used in this clause, means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit, or not for profit. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Reasonable compensation," as used in this clause, means, with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

"Reasonable payment," as used in this clause, means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

"Recipient," as used in this clause, includes the Contractor and all subcontractors. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed," as used in this clause, means, with respect to an officer or employee of a person requesting or receiving a Federal contract, an officer or employee who is employed by such person for at least 130 working days within 1 year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within 1 year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State," as used in this clause, means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and multi-State, regional, or interstate entity having governmental duties and powers.

(b) Prohibitions.

(1) Section 1352 of title 31, United States Code, among other things, prohibits a recipient of a Federal contract, grant, loan, or cooperative agreement from using appropriated funds to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered Federal actions: the awarding of any Federal contract; the making of any Federal grant; the making of any Federal loan; the entering into of any cooperative agreement; or the modification of any Federal contract, grant, loan, or cooperative agreement.

(2) The Act also requires Contractors to furnish a disclosure if any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal contract, grant, loan, or cooperative agreement.

(3) The prohibitions of the Act do not apply under the following conditions:

(i) Agency and legislative liaison by own employees.

(A) The prohibition on the use of appropriated funds, in subparagraph (b)(1) of this clause, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action if the payment is for agency and legislative liaison activities not directly related to a covered Federal action.

(B) For purposes of subdivision (b)(3)(i)(A) of this clause, providing any information specifically requested by an agency or Congress is permitted at any time.

(C) The following agency and legislative liaison activities are permitted at any time where they are not related to a specific solicitation for any covered Federal action:

(1) Discussing with an agency the qualities and characteristics (including individual demonstrations) of the person's products or services, conditions or terms of sale, and service capabilities.

(2) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.

(D) The following agency and legislative liaison activities are permitted where they are prior to formal solicitation of any covered Federal action--

(1) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;

(2) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and

(3) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Pub. L. 95-507, and subsequent amendments.

(E) Only those services expressly authorized by subdivision (b)(3)(i)(A) of this clause are permitted under this clause.

(ii) Professional and technical services.

(A) The prohibition on the use of appropriated funds, in subparagraph (b)(1) of this clause, does not apply in the case of--

(1) A payment of reasonable compensation made to an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action, if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action.

(2) Any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action or an extension, continuation, renewal, amendment, or modification of a covered Federal action if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal action or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal action. Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.

(B) For purposes of subdivision (b)(3)(ii)(A) of this clause, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of

a contract is allowable. However, communications with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

(C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation and any other requirements in the actual award documents.

(D) Only those services expressly authorized by subdivisions (b)(3)(ii)(A)(1) and (2) of this clause are permitted under this clause.

(E) The reporting requirements of FAR 3.803(a) shall not apply with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

(c) Disclosure.

(1) The Contractor who requests or receives from an agency a Federal contract shall file with that agency a disclosure form, OMB standard form LLL, Disclosure of Lobbying Activities, if such person has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered Federal action), which would be prohibited under subparagraph (b)(1) of this clause, if paid for with appropriated funds.

(2) The Contractor shall file a disclosure form at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under subparagraph (c)(1) of this clause. An event that materially affects the accuracy of the information reported includes--

(i) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or

(ii) A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or

(iii) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.

(3) The Contractor shall require the submittal of a certification, and if required, a disclosure form by any person who requests or receives any subcontract exceeding \$100,000 under the Federal contract.

(4) All subcontractor disclosure forms (but not certifications) shall be forwarded from tier to tier until received by the prime Contractor. The prime Contractor shall submit all disclosures to the Contracting Officer at the end of the calendar quarter in which the disclosure form is submitted by the subcontractor. Each subcontractor certification shall be retained in the subcontract file of the awarding Contractor.

(d) Agreement. The Contractor agrees not to make any payment prohibited by this clause.

(e) Penalties.

(1) Any person who makes an expenditure prohibited under paragraph (a) of this clause or who fails to file or amend the disclosure form to be filed or amended by paragraph (b) of this clause shall be subject to civil penalties as



provided for by 31 U.S.C. 1352. An imposition of a civil penalty does not prevent the Government from seeking any other remedy that may be applicable.

(2) Contractors may rely without liability on the representation made by their subcontractors in the certification and disclosure form.

(f) Cost allowability. Nothing in this clause makes allowable or reasonable any costs which would otherwise be unallowable or unreasonable. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any other provision.

(End of clause)

**52.204-4 PRINTING/COPYING DOUBLE-SIDED ON RECYCLED PAPER (AUG 2000)**

(a) Definitions. As used in this clause--

Postconsumer material means a material or finished product that has served its intended use and has been discarded for disposal or recovery, having completed its life as a consumer item. Postconsumer material is a part of the broader category of "recovered material." For paper and paper products, postconsumer material means "postconsumer fiber" defined by the U.S. Environmental Protection Agency (EPA) as--

(1) Paper, paperboard, and fibrous materials from retail stores, office buildings, homes, and so forth, after they have passed through their end-usage as a consumer item, including: used corrugated boxes; old newspapers; old magazines; mixed waste paper; tabulating cards; and used cordage; or

(2) All paper, paperboard, and fibrous materials that enter and are collected from municipal solid waste; but not

(3) Fiber derived from printers' over-runs, converters' scrap, and over-issue publications.

Printed or copied double-sided means printing or reproducing a document so that information is on both sides of a sheet of paper.

Recovered material, for paper and paper products, is defined by EPA in its Comprehensive Procurement Guideline as "recovered fiber" and means the following materials:

(1) Postconsumer fiber; and

(2) Manufacturing wastes such as--

(i) Dry paper and paperboard waste generated after completion of the papermaking process (that is, those manufacturing operations up to and including the cutting and trimming of the paper machine reel into smaller rolls or rough sheets) including: envelope cuttings, bindery trimmings, and other paper and paperboard waste resulting from printing, cutting, forming, and other converting operations; bag, box, and carton manufacturing wastes; and butt rolls, mill wrappers, and rejected unused stock; and

(ii) Repulped finished paper and paperboard from obsolete inventories of paper and paperboard manufacturers, merchants, wholesalers, dealers, printers, converters, or others.

(b) In accordance with Section 101 of Executive Order 13101 of September 14, 1998, Greening the Government through Waste Prevention, Recycling, and Federal Acquisition, the Contractor is encouraged to submit paper documents, such as offers, letters, or reports, that are printed or copied double-sided on recycled paper that meet

minimum content standards specified in Section 505 of Executive Order 13101, when not using electronic commerce methods to submit information or data to the Government.

(c) If the Contractor cannot purchase high-speed copier paper, offset paper, forms bond, computer printout paper, carbonless paper, file folders, white wove envelopes, writing and office paper, book paper, cotton fiber paper, and cover stock meeting the 30 percent postconsumer material standard for use in submitting paper documents to the Government, it should use paper containing no less than 20 percent postconsumer material. This lesser standard should be used only when paper meeting the 30 percent postconsumer material standard is not obtainable at a reasonable price or does not meet reasonable performance standards.

(End of clause)

**52.209-6 PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT (JUL 1995)**

(a) The Government suspends or debar Contractors to protect the Government's interests. The Contractor shall not enter into any subcontract in excess of the \$25,000 with a Contractor that is debarred, suspended, or proposed for debarment unless there is a compelling reason to do so.

(b) The Contractor shall require each proposed first-tier subcontractor, whose subcontract will exceed \$25,000, to disclose to the Contractor, in writing, whether as of the time of award of the subcontract, the subcontractor, or its principles, is or is not debarred, suspended, or proposed for debarment by the Federal Government.

(c) A corporate officer or a designee of the Contractor shall notify the Contracting Officer, in writing, before entering into a subcontract with a party that is debarred, suspended, or proposed for debarment (see FAR 9.404 for information on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs). The notice must include the following:

(1) The name of the subcontractor.

(2) The Contractor's knowledge of the reasons for the subcontractor being on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

(3) The compelling reason(s) for doing business with the subcontractor notwithstanding its inclusion on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

(4) The systems and procedures the Contractor has established to ensure that it is fully protecting the Government's interests when dealing with such subcontractor in view of the specific basis for the party's debarment, suspension, or proposed debarment.

(End of clause)

**52.211-12 LIQUIDATED DAMAGES--CONSTRUCTION (SEP 2000)**

(a) If the Contractor fails to complete the work within the time specified in the contract, the Contractor shall pay liquidated damages to the Government in the amount of \$650.00 for each calendar day of delay until the work is completed or accepted.

(b) If the Government terminates the Contractor's right to proceed, liquidated damages will continue to accrue until

the work is completed. These liquidated damages are in addition to excess costs of repurchase under the Termination clause.

(End of clause)

**52.211-18 VARIATION IN ESTIMATED QUANTITY (APR 1984)**

If the quantity of a unit-priced item in this contract is an estimated quantity and the actual quantity of the unit-priced item varies more than 15 percent above or below the estimated quantity, an equitable adjustment in the contract price shall be made upon demand of either party. The equitable adjustment shall be based upon any increase or decrease in costs due solely to the variation above 115 percent or below 85 percent of the estimated quantity. If the quantity variation is such as to cause an increase in the time necessary for completion, the Contractor may request, in writing, an extension of time, to be received by the Contracting Officer within 10 days from the beginning of the delay, or within such further period as may be granted by the Contracting Officer before the date of final settlement of the contract. Upon the receipt of a written request for an extension, the Contracting Officer shall ascertain the facts and make an adjustment for extending the completion date as, in the judgement of the Contracting Officer, is justified.

**52.214-26 AUDIT AND RECORDS--SEALED BIDDING. (OCT 1997)**

(a) As used in this clause, records includes books, documents, accounting procedures and practices, and other data, regardless of type and regardless of whether such items are in written form, in the form of computer data, or in any other form.

(b) Cost or pricing data. If the Contractor has been required to submit cost or pricing data in connection with the pricing of any modification to this contract, the Contracting Officer, or an authorized representative of the Contracting Officer, in order to evaluate the accuracy, completeness, and currency of the cost or pricing data, shall have the right to examine and audit all of the Contractor's records, including computations and projections, related to--

- (1) The proposal for the modification;
- (2) The discussions conducted on the proposal(s), including those related to negotiating;
- (3) Pricing of the modification; or
- (4) Performance of the modification.

(c) Comptroller General. In the case of pricing any modification, the Comptroller General of the United States, or an authorized representative, shall have the same rights as specified in paragraph (b) of this clause.

(d) Availability. The Contractor shall make available at its office at all reasonable times the materials described in reproduction, until 3 years after final payment under this contract, or for any other period specified in Subpart 4.7 of the Federal Acquisition Regulation (FAR). FAR Subpart 4.7, Contractor Records Retention, in effect on the date of this contract, is incorporated by reference in its entirety and made a part of this contract.

(1) If this contract is completely or partially terminated, the records relating to the work terminated shall be made available for 3 years after any resulting final termination settlement.

(2) Records pertaining to appeals under the Disputes clause or to litigation or the settlement of claims arising under or relating to the performance of this contract shall be made available until disposition of such appeals, litigation, or claims.

(e) The Contractor shall insert a clause containing all the provisions of this clause, including this paragraph (e), in all subcontracts expected to exceed the threshold in FAR 15.403-4(a)(1) for submission of cost or pricing data.

**52.214-27 PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA - MODIFICATIONS - SEALED BIDDING. (OCT 1997)**

(a) This clause shall become operative only for any modification to this contract involving aggregate increases and/or decreases in costs, plus applicable profits, expected to exceed the threshold for the submission of cost or pricing data at FAR 15.403-4(a)(1), except that this clause does not apply to a modification if an exception under FAR 15.403-1(b) applies.

(1) Based on adequate price competition;

(2) Based on established catalog or market prices of commercial items sold in substantial quantities to the general public; or

(3) Set by law or regulation.

(b) If any price, including profit, negotiated in connection with any modification under this clause, was increased by any significant amount because

(1) the Contractor or a subcontractor furnished cost or pricing data that were not complete, accurate, and current as certified in its Certificate of Current Cost or Pricing Data;

(2) a subcontractor or prospective subcontractor furnished the Contractor cost or pricing data that were not complete, accurate, and current as certified in the Contractor's Certificate of Current Cost or Pricing Data; or

(3) any of these parties furnished data of any description that were not accurate, the price shall be reduced accordingly and the contract shall be modified to reflect the reduction. This right to a price reduction is limited to that resulting from defects in data relating to modifications for which this clause becomes operative under paragraph (a) above.

(c) Any reduction in the contract price under paragraph (b) above due to defective data from a prospective subcontractor that was not subsequently awarded the subcontract shall be limited to the amount, plus applicable overhead and profit markup, by which:

(1) the actual subcontract; or

(2) the actual cost to the Contractor, if there was no subcontract, was less than the prospective subcontract cost estimate submitted by the Contractor; provided, that the actual subcontract price was not itself affected by defective cost or pricing data.

(d) If the Contracting Officer determines under paragraph (b) of this clause that a price or cost reduction should be made:

(1) the Contractor agrees not to raise the following matters as a defense:

(i) The Contractor or subcontractor was a sole source supplier or otherwise was in a superior bargaining position and thus the price of the contract would not have been modified even if accurate, complete, and current cost or pricing data had been submitted;

(ii) The Contracting Officer should have known that the cost or pricing data in issue were defective even though the Contractor or subcontractor took no affirmative action to bring the character of the data to the attention of the Contracting Officer;

(iii) The contract was based on an agreement about the total cost of the contract and there was no agreement about the cost of each item procured under the contract; or

(iv) The Contractor or subcontractor did not submit a Certificate of Current Cost or Pricing Data.

(2) Except as prohibited by subdivision (d)(2)(ii) of this clause:

(i) an offset in an amount determined appropriate by the Contracting Officer based upon the facts shall be allowed against the amount of a contract price reduction if:

(A) The Contractor certifies to the Contracting Officer that, to the best of the Contractor's knowledge and belief, the Contractor is entitled to the offset in the amount requested; and

(B) The Contractor proves that the cost or pricing data were available before the date of agreement on the price of the contract (or price of the modification) and that the data were not submitted before such date.

(ii) An offset shall not be allowed if:

(A) The understated data was known by the Contractor to be understated when the Certificate of Current Cost or Pricing Data was signed; or (B) The Government proves that the facts demonstrate that the contract price would not have increased in the amount to be offset even if the available data had been submitted before the date of agreement on price.

(e) If any reduction in the contract price under this clause reduces the price of items for which payment was made prior to the date of the modification reflecting the price reduction, the Contractor shall be liable to and shall pay the United States at the time such overpayment is repaid:

(1) Simple interest on the amount of such overpayment to be computed from the date(s) of overpayment to the Contractor to the date the Government is repaid by the Contractor at the applicable underpayment rate effective for each quarter prescribed by the Secretary of the Treasury under 26 U.S.C. 6621(a)(2); and

(2) A penalty equal to the amount of the overpayment, if the Contractor or subcontractor knowingly submitted cost or pricing data which were incomplete, inaccurate, or noncurrent.

**52.214-28 SUBCONTRACTOR COST OR PRICING DATA - MODIFICATIONS - SEALED BIDDING.  
(OCT 1997)**

(a) The requirements of paragraphs (b) and (c) of this clause shall:

(1) become operative only for any modification to this contract involving aggregate increases and/or decreases in costs, plus applicable profits, expected to exceed the threshold for submission of cost or pricing data at (FAR) 48 CFR 15.403-4(a)(1); and

(2) be limited to such modifications.

(b) Before awarding any subcontract expected to exceed the threshold for submission of cost or pricing data at FAR 15.403-4(a)(1), on the date of agreement on price or the date of award, whichever is later; or before pricing any subcontract modifications involving aggregate increases and/or decreases in costs, plus applicable profits, expected to exceed the threshold for submission of cost or pricing data at FAR 15.403-4(a)(1), the Contractor shall require the subcontractor to submit cost or pricing data (actually or by specific identification in writing), unless an exception under FAR 15.403-1(b) applies.

(1) Based on adequate price competition;

(2) Based on established catalog or market prices of commercial items sold in substantial quantities to the general public; or

(3) Set by law or regulation.

(c) The Contractor shall require the subcontractor to certify in substantially the form prescribed in subsection 15.406-2 of the Federal Acquisition Regulation that, to the best of its knowledge and belief, the data submitted under paragraph (b) above were accurate, complete, and current as of the date of agreement on the negotiated price of the subcontract or subcontract modification.

(d) The Contractor shall insert the substance of this clause, including this paragraph (d), in each subcontract that, when entered into, exceeds the threshold for submission of cost or pricing data at FAR 15.403-4(a)(1).

***52.219-4 NOTICE OF PRICE EVALUATION PREFERENCE FOR HUBZONE SMALL BUSINESS CONCERNS (JAN 1999)***

(a) Definition. HUBZone small business concern, as used in this clause, means a small business concern that appears on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration.

(b) Evaluation preference. (1) Offers will be evaluated by adding a factor of 10 percent to the price of all offers, except--

(i) Offers from HUBZone small business concerns that have not waived the evaluation preference;

(ii) Otherwise successful offers from small business concerns;

(iii) Otherwise successful offers of eligible products under the Trade Agreements Act when the dollar threshold for application of the Act is exceeded (see 25.402 of the Federal Acquisition Regulation (FAR)); and

(iv) Otherwise successful offers where application of the factor would be inconsistent with a Memorandum of Understanding or other international agreement with a foreign government.

(2) The factor of 10 percent shall be applied on a line item basis or to any group of items on which award may be made. Other evaluation factors described in the solicitation shall be applied before application of the factor.

(3) A concern that is both a HUBZone small business concern and a small disadvantaged business concern will receive the benefit of both the HUBZone small business price evaluation preference and the small disadvantaged business price evaluation adjustment (see FAR clause 52.219-23). Each applicable price evaluation preference or adjustment shall be calculated independently against an offeror's base offer.

These individual preference amounts shall be added together to arrive at the total evaluated price for that offer.

(c) Waiver of evaluation preference. A HUBZone small business concern may elect to waive the evaluation preference, in which case the factor will be added to its offer for evaluation purposes. The agreements in paragraph (d) of this clause do not apply if the offeror has waived the evaluation preference.

\_\_\_ Offeror elects to waive the evaluation preference.

(d) Agreement. A HUBZone small business concern agrees that in the performance of the contract, in the case of a contract for

(1) Services (except construction), at least 50 percent of the cost of personnel for contract performance will be spent for employees of the concern or employees of other HUBZone small business concerns;

(2) Supplies (other than procurement from a nonmanufacturer of such supplies), at least 50 percent of the cost of manufacturing, excluding the cost of materials, will be performed by the concern or other HUBZone small business concerns;

(3) General construction, at least 15 percent of the cost of the contract performance incurred for personnel will be spent on the concern's employees or the employees of other HUBZone small business concerns; or

(4) Construction by special trade contractors, at least 25 percent of the cost of the contract performance incurred for personnel will be spent on the concern's employees or the employees of other HUBZone small business concerns.

(e) A HUBZone joint venture agrees that in the performance of the contract, the applicable percentage specified in paragraph (d) of this clause will be performed by the HUBZone small business participant or participants.

(f) A HUBZone small business concern nonmanufacturer agrees to furnish in performing this contract only end items manufactured or produced by HUBZone small business manufacturer concerns. This paragraph does not apply in connection with construction or service contracts.

(End of clause)

#### **52.219-8 UTILIZATION OF SMALL BUSINESS CONCERNS (OCT 2000)**

(a) It is the policy of the United States that small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns shall have the maximum practicable opportunity to participate in performing contracts let by any Federal agency, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems. It is further the policy of the United States that its prime contractors establish procedures to ensure the timely payment of amounts due pursuant to the terms of their subcontracts with small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns, and women-owned small business concerns.

(b) The Contractor hereby agrees to carry out this policy in the awarding of subcontracts to the fullest extent consistent with efficient contract performance. The Contractor further agrees to cooperate in any studies or surveys

as may be conducted by the United States Small Business Administration or the awarding agency of the United States as may be necessary to determine the extent of the Contractor's compliance with this clause.

Definitions. As used in this contract--

HUBZone small business concern means a small business concern that appears on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration.

Service-disabled veteran-owned small business concern--

(1) Means a small business concern--

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

Small business concern means a small business as defined pursuant to Section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto.

Small disadvantaged business concern means a small business concern that represents, as part of its offer that--

(1) It has received certification as a small disadvantaged business concern consistent with 13 CFR part 124, subpart B;

(2) No material change in disadvantaged ownership and control has occurred since its certification;

(3) Where the concern is owned by one or more individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(4) It is identified, on the date of its representation, as a certified small disadvantaged business in the database maintained by the Small Business Administration (PRO-Net).

Veteran-owned small business concern means a small business concern--

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

Women-owned small business concern means a small business concern--

(1) That is at least 51 percent owned by one or more women, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.



(d) Contractors acting in good faith may rely on written representations by their subcontractors regarding their status as a small business concern, a veteran-owned small business concern, a service-disabled veteran-owned small business concern, a HUBZone small business concern, a small disadvantaged business concern, or a women-owned small business concern.

(End of clause)

***52.219-9 SMALL BUSINESS SUBCONTRACTING PLAN (OCT 2000) ALTERNATE I (OCT 2000)***

(a) This clause does not apply to small business concerns.

(b) Definitions. As used in this clause--

Commercial item means a product or service that satisfies the definition of commercial item in section 2.101 of the Federal Acquisition Regulation.

Commercial plan means a subcontracting plan (including goals) that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division, plant, or product line).

Individual contract plan means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.

Master plan means a subcontracting plan that contains all the required elements of an individual contract plan, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.

Subcontract means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime Contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

(c) The apparent low bidder, upon request by the Contracting Officer, shall submit a subcontracting plan, where applicable, that separately addresses subcontracting with small business, veteran-owner small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns. If the bidder is submitting an individual contract plan, the plan must separately address subcontracting with small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns, with a separate part for the basic contract and separate parts for each option (if any). The plan shall be included in and made a part of the resultant contract. The subcontracting plan shall be submitted within the time specified by the Contracting Officer. Failure to submit the subcontracting plan shall make the bidder ineligible for the award of a contract.

(d) The offeror's subcontracting plan shall include the following:

(1) Goals, expressed in terms of percentages of total planned subcontracting dollars, for the use of small business, veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns as subcontractors. Service-disabled veteran-owned small business concerns meet the definition of veteran-owned small business concerns, and offerors may include them within the subcontracting plan goal for veteran-owned small business concerns. A separate goal for service-disabled veteran-owned small business concerns is not required. The offeror shall include all subcontracts that contribute to contract performance, and may include a proportionate share of products and services that are normally allocated as indirect costs.

(2) A statement of--

- (i) Total dollars planned to be subcontracted for an individual contract plan; or the offeror's total projected sales, expressed in dollars, and the total value of projected subcontracts to support the sales for a commercial plan;
- (ii) Total dollars planned to be subcontracted to small business concerns;
- (iii) Total dollars planned to be subcontracted to veteran-owned small business concerns;
- (iv) Total dollars planned to be subcontracted to HUBZone small business concerns;
- (v) Total dollars planned to be subcontracted to small disadvantaged business concerns; and
- (vi) Total dollars planned to be subcontracted to women-owned small business concerns.

(3) A description of the principal types of supplies and services to be subcontracted, and an identification of the types planned for subcontracting to--

- (i) Small business concerns;
- (ii) Veteran-owned small business concerns;
- (iii) HUBZone small business concerns;
- (iv) Small disadvantaged business concerns; and
- (v) Women-owned small business concerns.

(4) A description of the method used to develop the subcontracting goals in paragraph (d)(1) of this clause.

(5) A description of the method used to identify potential sources for solicitation purposes (e.g., existing company source lists, the Procurement Marketing and Access Network (PRO-Net) of the Small Business Administration (SBA), veterans service organizations, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged, and women-owned small business trade associations). A firm may rely on the information contained in PRO-Net as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a small, veteran-owned small, HUBZone small, small disadvantaged, and women-owned small business source list. Use of PRO-Net as its source list does not relieve a firm of its responsibilities (e.g., outreach, assistance, counseling, or publicizing subcontracting opportunities) in this clause.

(6) A statement as to whether or not the offeror included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with—

- (i) Small business concerns;
- (ii) Veteran-owned small business concerns;
- (iii) HUBZone small business concerns;
- (iv) Small disadvantaged business concerns; and
- (v) Women-owned small business concerns.

(7) The name of the individual employed by the offeror who will administer the offeror's subcontracting program, and a description of the duties of the individual.

(8) A description of the efforts the offeror will make to assure that small business, veteran-owned small business, HUBZone small business, small disadvantaged business and women-owned small business concerns have an equitable opportunity to compete for subcontracts.

(9) Assurances that the offeror will include the clause of this contract entitled "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and that the offeror will require all subcontractors (except small business concerns) that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction of any public facility) to adopt a subcontracting plan that complies with the requirements of this clause.

(10) Assurances that the offeror will--

(i) Cooperate in any studies or surveys as may be required;

(ii) Submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan;

(iii) Submit Standard Form (SF) 294, Subcontracting Report for Individual Contracts, and/or SF 295, Summary Subcontract Report, in accordance with paragraph (j) of this clause. The reports shall provide information on subcontract awards to small business concerns, veteran-owned small business concerns, service-disabled veteran-owned small business concerns, small disadvantaged business concerns, women-owned small business concerns, and Historically Black Colleges and Universities and Minority Institutions. Reporting shall be in accordance with the instructions on the forms or as provided in agency regulations.

(iv) Ensure that its subcontractors agree to submit SF 294 and SF 295.

(11) A description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the offeror's efforts to locate small business, veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated)

(i) Source lists (e.g., PRO-Net), guides, and other data that identify small business, veteran-owner small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns.

(ii) Organizations contacted in an attempt to locate sources that are small business, veteran-owned small business, HUBZone small business, small disadvantaged business, or women-owned small business concerns.

(iii) Records on each subcontract solicitation resulting in an award of more than \$100,000, indicating--

(A) Whether small business concerns were solicited and, if not, why not;

(B) Whether veteran-owned small business concerns were solicited and, if not, why not;

(C) Whether HUBZone small business concerns were solicited and, if not, why not;

(D) Whether small disadvantaged business concerns were solicited and, if not, why not;

(E) Whether women-owned small business concerns were solicited and, if not, why not; and

(F) If applicable, the reason award was not made to a small business concern.

(iv) Records of any outreach efforts to contact--

(A) Trade associations;

(B) Business development organizations;

(C) Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, and women-owned small business sources; and

(D) Veterans service organizations.

(v) Records of internal guidance and encouragement provided to buyers through--

(A) Workshops, seminars, training, etc.; and

(B) Monitoring performance to evaluate compliance with the program's requirements.

(vi) On a contract-by-contract basis, records to support award data submitted by the offeror to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

(e) In order to effectively implement this plan to the extent consistent with efficient contract performance, the Contractor shall perform the following functions:

(1) Assist small business, veteran-owner small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns. Where the Contractor's lists of potential small business, veteran-owner small business, HUBZone small business, small disadvantaged business, and women-owned small business subcontractors are excessively long, reasonable effort shall be made to give all such small business concerns an opportunity to compete over a period of time.

(2) Provide adequate and timely consideration of the potentialities of small business, veteran-owner small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns in all "make-or-buy" decisions.

(3) Counsel and discuss subcontracting opportunities with representatives of small business, veteran-owner small business, HUBZone small business, small disadvantaged business, and women-owned small business firms.

(4) Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small, veteran-owner small business, HUBZone small, small disadvantaged, or women-owned small business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Contractor's subcontracting plan.

(f) A master plan on a plant or division-wide basis that contains all the elements required by paragraph (d) of this clause, except goals, may be incorporated by reference as a part of the subcontracting plan required of the offeror by this clause; provided--

(1) the master plan has been approved, (2) the offeror ensures that the master plan is updated as necessary and provides copies of the approved master plan, including evidence of its approval, to the Contracting Officer, and (3) goals and any deviations from the master plan deemed necessary by the Contracting Officer to satisfy the requirements of this contract are set forth in the individual subcontracting plan.

(g) A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial items. The commercial plan shall relate to the offeror's planned subcontracting generally, for both commercial and Government business, rather than solely to the Government contract. Commercial plans are also preferred for subcontractors that provide commercial items under a prime contract, whether or not the prime contractor is supplying a commercial item.

(h) Prior compliance of the offeror with other such subcontracting plans under previous contracts will be considered by the Contracting Officer in determining the responsibility of the offeror for award of the contract.

(i) The failure of the Contractor or subcontractor to comply in good faith with (1) the clause of this contract entitled "Utilization Of Small Business Concerns," or (2) an approved plan required by this clause, shall be a material breach of the contract.

(j) The Contractor shall submit the following reports:

(1) Standard Form 294, Subcontracting Report for Individual Contracts. This report shall be submitted to the Contracting Officer semiannually and at contract completion. The report covers subcontract award data related to this contract. This report is not required for commercial plans.

(2) Standard Form 295, Summary Subcontract Report. This report encompasses all of the contracts with the awarding agency. It must be submitted semi-annually for contracts with the Department of Defense and annually for contracts with civilian agencies. If the reporting activity is covered by a commercial plan, the reporting activity must report annually all subcontract awards under that plan. All reports submitted at the close of each fiscal year (both individual and commercial plans) shall include a breakout, in the Contractor's format, of subcontract awards, in whole dollars, to small disadvantaged business concerns by North American Industry Classification System (NAICS) Industry Subsector. For a commercial plan, the Contractor may obtain from each of its subcontractors a predominant NAICS Industry Subsector and report all awards to that subcontractor under its predominant NAICS Industry Subsector.

(End of clause)

#### **52.219-16 LIQUIDATED DAMAGES-SUBCONTRACTING PLAN (JAN 1999)**

(a) Failure to make a good faith effort to comply with the subcontracting plan, as used in this clause, means a willful or intentional failure to perform in accordance with the requirements of the subcontracting plan approved under the clause in this contract entitled "Small Business Subcontracting Plan," or willful or intentional action to frustrate the plan.

(b) Performance shall be measured by applying the percentage goals to the total actual subcontracting dollars or, if a commercial plan is involved, to the pro rata share of actual subcontracting dollars attributable to Government contracts covered by the commercial plan. If, at contract completion or, in the case of a commercial plan, at the close of the fiscal year for which the plan is applicable, the Contractor has failed to meet its subcontracting goals and the Contracting Officer decides in accordance with paragraph (c) of this clause that the Contractor failed to make a good faith effort to comply with its subcontracting plan, established in accordance with the clause in this contract entitled "Small Business Subcontracting Plan," the Contractor shall pay the Government liquidated damages in an amount stated. The amount of probable damages attributable to the Contractor's failure to comply shall be an amount equal to the actual dollar amount by which the Contractor failed to achieve each subcontract goal.

(c) Before the Contracting Officer makes a final decision that the Contractor has failed to make such good faith effort, the Contracting Officer shall give the Contractor written notice specifying the failure and permitting the Contractor to demonstrate what good faith efforts have been made and to discuss the matter. Failure to respond to the notice may be taken as an admission that no valid explanation exists. If, after consideration of all the pertinent data, the Contracting Officer finds that the Contractor failed to make a good faith effort to comply with the subcontracting plan, the Contracting Officer shall issue a final decision to that effect and require that the Contractor pay the Government liquidated damages as provided in paragraph (b) of this clause.

(d) With respect to commercial plans, the Contracting Officer who approved the plan will perform the functions of the Contracting Officer under this clause on behalf of all agencies with contracts covered by the commercial plan.

(e) The Contractor shall have the right of appeal, under the clause in this contract entitled Disputes, from any final decision of the Contracting Officer.

(f) Liquidated damages shall be in addition to any other remedies that the Government may have.

(End of clause)

**52.222-1 NOTICE TO THE GOVERNMENT OF LABOR DISPUTES (FEB 1997)**

If the Contractor has knowledge that any actual or potential labor dispute is delaying or threatens to delay the timely performance of this contract, the Contractor shall immediately give notice, including all relevant information, to the Contracting Officer.

**52.222-3 CONVICT LABOR (AUG 1996)**

The Contractor agrees not to employ in the performance of this contract any person undergoing a sentence of imprisonment which has been imposed by any court of a State, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, or the Trust Territory of the Pacific Islands. This limitation, however, shall not prohibit the employment by the Contractor in the performance of this contract of persons on parole or probation to work at paid employment during the term of their sentence or persons who have been pardoned or who have served their terms. Nor shall it prohibit the employment by the Contractor in the performance of this contract of persons confined for violation of the laws of any of the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, or the Trust Territory of the Pacific Islands who are authorized to work at paid employment in the community under the laws of such jurisdiction, if--

(a)(1) The worker is paid or is in an approved work training program on a voluntary basis;

(2) Representatives of local union central bodies or similar labor union organizations have been consulted;

(3) Such paid employment will not result in the displacement of employed workers, or be applied in skills, crafts, or trades in which there is a surplus of available gainful labor in the locality, or impair existing contracts for services; and

(4) The rates of pay and other conditions of employment will not be less than those paid or provided for work of a similar nature in the locality in which the work is being performed; and

(b) The Attorney General of the United States has certified that the work-release laws or regulations of the jurisdiction involved are in conformity with the requirements of Executive Order 11755, as amended by Executive Orders 12608 and 12943.

(End of clause)

**52.222-4 CONTRACT WORK HOURS AND SAFETY STANDARDS ACT - OVERTIME COMPENSATION.  
(SEP 2000)**

(a) Overtime requirements. No Contractor or subcontractor employing laborers or mechanics (see Federal Acquisition Regulation 22.300) shall require or permit them to work over 40 hours in any workweek unless they are paid at least 1 and 1/2 times the basic rate of pay for each hour worked over 40 hours.

(b) Violation; liability for unpaid wages; liquidated damages. The responsible Contractor and subcontractor are liable for unpaid wages if they violate the terms in paragraph (a) of this clause. In addition, the Contractor and subcontractor are liable for liquidated damages payable to the Government. The Contracting Officer will assess liquidated damages at the rate of \$10 per affected employee for each calendar day on which the employer required or permitted the employee to work in excess of the standard workweek of 40 hours without paying overtime wages required by the Contract Work Hours and Safety Standards Act.

(c) Withholding for unpaid wages and liquidated damages. The Contracting Officer will withhold from payments due under the contract sufficient funds required to satisfy any Contractor or subcontractor liabilities for unpaid wages and liquidated damages. If amounts withheld under the contract are insufficient to satisfy Contractor or subcontractor liabilities, the Contracting Officer will withhold payments from other Federal or Federally assisted contracts held by the same Contractor that are subject to the Contract Work Hours and Safety Standards Act.

(d) Payrolls and basic records.

(1) The Contractor and its subcontractors shall maintain payrolls and basic payroll records for all laborers and mechanics working on the contract during the contract and shall make them available to the Government until 3 years after contract completion. The records shall contain the name and address of each employee, social security number, labor classifications, hourly rates of wages paid, daily and weekly number of hours worked, deductions made, and actual wages paid. The records need not duplicate those required for construction work by Department of Labor regulations at 29 CFR 5.5(a)(3) implementing the Davis-Bacon Act.

(2) The Contractor and its subcontractors shall allow authorized representatives of the Contracting Officer or the Department of Labor to inspect, copy, or transcribe records maintained under paragraph (d)(1) of this clause. The Contractor or subcontractor also shall allow authorized representatives of the Contracting Officer or Department of Labor to interview employees in the workplace during working hours.

(e) Subcontracts. The Contractor shall insert the provisions set forth in paragraphs (a) through (d) of this clause in subcontracts exceeding \$100,000 and require subcontractors to include these provisions in any lower tier subcontracts. The Contractor shall be responsible for compliance by any subcontractor or lower-tier subcontractor with the provisions set forth in paragraphs (a) through (d) of this clause.

(End of clause)

**52.222-6 DAVIS-BACON ACT (FEB 1995)**

(a) All laborers and mechanics employed or working upon the site of the work will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR Part 3), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Contractor and such laborers and mechanics. Contributions made or costs reasonably anticipated for

bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (d) of this clause; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such period. Such laborers and mechanics shall be paid not less than the appropriate wage rate and fringe benefits in the wage determination for the classification of work actually performed, without regard to skill, except as provided in the clause entitled Apprentices and Trainees. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein; provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classifications and wage rates conformed under paragraph (b) of this clause) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

(b)(1) The Contracting Officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The Contracting Officer shall approve an additional classification and wage rate and fringe benefits therefor only when all the following criteria have been met:

(i) The work to be performed by the classification requested is not performed by a classification in the wage determination.

(ii) The classification is utilized in the area by the construction industry.

(iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(2) If the Contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the Contracting Officer agree on the classification and wage rate (including the amount designated for fringe benefits, where appropriate), a report of the action taken shall be sent by the Contracting Officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator or an authorized representative will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(3) In the event the Contractor, the laborers or mechanics to be employed in the classification, or their representatives, and the Contracting Officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Contracting Officer shall refer the questions, including the views of all interested parties and the recommendation of the Contracting Officer, to the Administrator of the Wage and Hour Division for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(4) The wage rate (including fringe benefits, where appropriate) determined pursuant to subparagraphs (b)(2) and (b)(3) of this clause shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(c) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the Contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(d) If the Contractor does not make payments to a trustee or other third person, the Contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program; provided, That the Secretary of Labor has found, upon the written request of the Contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may



require the Contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

**52.222-7 WITHHOLDING OF FUNDS (FEB 1988)**

The Contracting Officer shall, upon his or her own action or upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the Contractor under this contract or any other Federal contract with the same Prime Contractor, or any other Federally assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same Prime Contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the Contracting Officer may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

**52.222-8 PAYROLLS AND BASIC RECORDS (FEB 1988)**

(a) Payrolls and basic records relating thereto shall be maintained by the Contractor during the course of the work and preserved for a period of 3 years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made, and actual wages paid. Whenever the Secretary of Labor has found, under paragraph (d) of the clause entitled Davis-Bacon Act, that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the Contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(b)(1) The Contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the Contracting Officer. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under paragraph (a) of this clause. This information may be submitted in any form desired. Optional Form WH-347 (Federal Stock Number 029-005-00014-1) is available for this purpose and may be purchased from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. The Prime Contractor is responsible for the submission of copies of payrolls by all subcontractors.

(2) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the Contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify--

(i) That the payroll for the payroll period contains the information required to be maintained under paragraph (a) of this clause and that such information is correct and complete;

(ii) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during

the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in the Regulations, 29 CFR Part 3; and

(iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

(3) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by subparagraph (b)(2) of this clause.

(4) The falsification of any of the certifications in this clause may subject the Contractor or subcontractor to civil or criminal prosecution under Section 1001 of Title 18 and Section 3729 of Title 31 of the United States Code.

(c) The Contractor or subcontractor shall make the records required under paragraph (a) of this clause available for inspection, copying, or transcription by the Contracting Officer or authorized representatives of the Contracting Officer or the Department of Labor. The Contractor or subcontractor shall permit the Contracting Officer or representatives of the Contracting Officer or the Department of Labor to interview employees during working hours on the job. If the Contractor or subcontractor fails to submit required records or to make them available, the Contracting Officer may, after written notice to the Contractor, take such action as may be necessary to cause the suspension of any further payment. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

#### **52.222-9 APPRENTICES AND TRAINEES (FEB 1988)**

(a) Apprentices. Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the Contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated in this paragraph, shall be paid not less than the applicable wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the Contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the Contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(b) Trainees. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed in the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate in the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate in the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate in the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the Contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(c) Equal employment opportunity. The utilization of apprentices, trainees, and journeymen under this clause shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR Part 30.

**52.222-10 COMPLIANCE WITH COPELAND ACT REQUIREMENTS (FEB 1988)**

The Contractor shall comply with the requirements of 29 CFR Part 3, which are hereby incorporated by reference in this contract.

**52.222-11 SUBCONTRACTS (LABOR STANDARDS (FEB 1988)**

(a) The Contractor or subcontractor shall insert in any subcontracts the clauses entitled Davis-Bacon Act, Contract Work Hours and Safety Standards Act-Overtime Compensation, Apprentices and Trainees, Payrolls and Basic Records, Compliance with Copeland Act Requirements, Withholding of Funds, Subcontracts (Labor Standards), Contract Termination-Debarment, Disputes Concerning Labor Standards, Compliance with Davis-Bacon and Related Act Regulations, and Certification of Eligibility, and such other clauses as the Contracting Officer may, by appropriate instructions, require, and also a clause requiring subcontractors to include these clauses in any lower tier subcontracts. The Prime Contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with all the contract clauses cited in this paragraph.

(b)(1) Within 14 days after award of the contract, the Contractor shall deliver to the Contracting Officer a completed Statement and Acknowledgment Form (SF 1413) for each subcontract, including the subcontractor's signed and dated acknowledgment that the clauses set forth in paragraph (a) of this clause have been included in the subcontract.

(2) Within 14 days after the award of any subsequently awarded subcontract the Contractor shall deliver to the

Contracting Officer an updated completed SF 1413 for such additional subcontract.

**52.222-12 CONTRACT TERMINATION--DEBARMENT (FEB 1988)**

A breach of the contract clauses entitled Davis-Bacon Act, Contract Work Hours and Safety Standards Act--Overtime Compensation, Apprentices and Trainees, Payrolls and Basic Records, Compliance with Copeland Act Requirements, Subcontracts (Labor Standards), Compliance with Davis-Bacon and Related Act Regulations, or Certification of Eligibility may be grounds for termination of the contract, and for debarment as a Contractor and subcontractor as provided in 29 CFR 5.12.

**52.222-13 COMPLIANCE WITH DAVIS-BACON AND RELATED ACT REGULATIONS (FEB 1988)**

All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR Parts 1, 3, and 5 are hereby incorporated by reference in this contract.

**52.222-14 DISPUTES CONCERNING LABOR STANDARDS (FEB 1988)**

The United States Department of Labor has set forth in 29 CFR Parts 5, 6, and 7 procedures for resolving disputes concerning labor standards requirements. Such disputes shall be resolved in accordance with those procedures and not the Disputes clause of this contract. Disputes within the meaning of this clause include disputes between the Contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

**52.222-15 CERTIFICATION OF ELIGIBILITY (FEB 1988)**

(a) By entering into this contract, the Contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(b) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(c) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

**52.222-21 PROHIBITION OF SEGREGATED FACILITIES (FEB 1999)**

(a) Segregated facilities, as used in this clause, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, or national origin because of written or oral policies or employee custom. The term does not include separate or single-user rest rooms or necessary dressing or sleeping areas provided to assure privacy between the sexes.

(b) The Contractor agrees that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The Contractor agrees that a breach of this clause is a violation of the Equal Opportunity clause in this contract.

(c) The Contractor shall include this clause in every subcontract and purchase order that is subject to the Equal Opportunity clause of this contract.

(End of clause)

**52.222-23 NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION TO ENSURE EQUAL EMPLOYMENT OPPORTUNITY FOR CONSTRUCTION (FEB 1999)**

(a) The offeror's attention is called to the Equal Opportunity clause and the Affirmative Action Compliance Requirements for Construction clause of this solicitation.

(b) The goals for minority and female participation, expressed in percentage terms for the Contractor's aggregate workforce in each trade on all construction work in the covered area, are as follows:

Goals for minority participation for each trade	Goals for female participation for each trade
2.2%	6.9%

These goals are applicable to all the Contractor's construction work performed in the covered area. If the Contractor performs construction work in a geographical area located outside of the covered area, the Contractor shall apply the goals established for the geographical area where the work is actually performed. Goals are published periodically in the Federal Register in notice form, and these notices may be obtained from any Office of Federal Contract Compliance Programs office.

(c) The Contractor's compliance with Executive Order 11246, as amended, and the regulations in 41 CFR 60-4 shall be based on (1) its implementation of the Equal Opportunity clause, (2) specific affirmative action obligations required by the clause entitled "Affirmative Action Compliance Requirements for Construction," and (3) its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade. The Contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor, or from project to project, for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, Executive Order 11246, as amended, and the regulations in 41 CFR 60-4. Compliance with the goals will be measured against the total work hours performed.

(d) The Contractor shall provide written notification to the Deputy Assistant Secretary for Federal Contract Compliance, U.S. Department of Labor, within 10 working days following award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the --

- (1) Name, address, and telephone number of the subcontractor;
  - (2) Employer's identification number of the subcontractor;
  - (3) Estimated dollar amount of the subcontract;
  - (4) Estimated starting and completion dates of the subcontract; and
  - (5) Geographical area in which the subcontract is to be performed.
- (e) As used in this Notice, and in any contract resulting from this solicitation, the "covered area" is **Morrison County, Little Falls Minnesota**

**52.222-26 EQUAL OPPORTUNITY (FEB 1999)**

(a) If, during any 12-month period (including the 12 months preceding the award of this contract), the Contractor has been or is awarded nonexempt Federal contracts and/or subcontracts that have an aggregate value in excess of \$10,000, the Contractor shall comply with subparagraphs (b)(1) through (11) of this clause. Upon request, the Contractor shall provide information necessary to determine the applicability of this clause.

(b) During performing this contract, the Contractor agrees as follows:

(1) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. However, it shall not be a violation of this clause for the Contractor to extend a publicly announced preference in employment to Indians living on or near an Indian reservation, in connection with employment opportunities on or near an Indian reservation, as permitted by 41 CFR 60-1.5.

(2) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. This shall include, but not be limited to, (i) employment, (ii) upgrading, (iii) demotion, (iv) transfer, (v) recruitment or recruitment advertising, (vi) layoff or termination, (vii) rates of pay or other forms of compensation, and (viii) selection for training, including apprenticeship.

(3) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.

(4) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

(5) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.

(6) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.

(7) The Contractor shall furnish to the contracting agency all information required by Executive Order 11246, as amended, and by the rules, regulations, and orders of the Secretary of Labor. The Contractor shall also file Standard

Form 100 (EEO-1), or any successor form, as prescribed in 41 CFR part 60-1. Unless the Contractor has filed within the 12 months preceding the date of contract award, the Contractor shall, within 30 days after contract award, apply to either the regional Office of Federal Contract Compliance Programs (OFCCP) or the local office of the Equal Employment Opportunity Commission for the necessary forms.

(8) The Contractor shall permit access to its premises, during normal business hours, by the contracting agency or the OFCCP for the purpose of conducting on-site compliance evaluations and complaint investigations. The Contractor shall permit the Government to inspect and copy any books, accounts, records (including computerized records), and other material that may be relevant to the matter under investigation and pertinent to compliance with Executive Order 11246, as amended, and rules and regulations that implement the Executive Order.

(9) If the OFCCP determines that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further Government contracts, under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended; in the rules, regulations, and orders of the Secretary of Labor; or as otherwise provided by law.

(10) The Contractor shall include the terms and conditions of subparagraphs (b)(1) through (11) of this clause in every subcontract or purchase order that is not exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor.

(11) The Contractor shall take such action with respect to any subcontract or purchase order as the contracting officer may direct as a means of enforcing these terms and conditions, including sanctions for noncompliance; provided, that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of any direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

(c) Notwithstanding any other clause in this contract, disputes relative to this clause will be governed by the procedures in 41 CFR 60-1.1.

**52.222-27 AFFIRMATIVE ACTION COMPLIANCE REQUIREMENTS FOR CONSTRUCTION (FEB 1999)**

(a) Definitions. "Covered area," as used in this clause, means the geographical area described in the solicitation for this contract.

"Deputy Assistant Secretary," as used in this clause, means Deputy Assistant Secretary for Federal Contract Compliance, U.S. Department of Labor, or a designee.

"Employer's identification number," as used in this clause, means the Federal Social Security number used on the employer's quarterly federal tax return, U.S. Treasury Department Form 941.

"Minority," as used in this clause, means--

(1) American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).

(2) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands);

(3) Black (all persons having origins in any of the black African racial groups not of Hispanic origin); and

(4) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race).

(b) If the Contractor, or a subcontractor at any tier, subcontracts a portion of the work involving any construction trade, each such subcontract in excess of \$10,000 shall include this clause and the Notice containing the goals for minority and female participation stated in the solicitation for this contract.

(c) If the Contractor is participating in a Hometown Plan (41 CFR 60-4) approved by the U.S. Department of Labor in a covered area, either individually or through an association, its affirmative action obligations on all work in the plan area (including goals) shall comply with the plan for those trades that have unions participating in the plan. Contractors must be able to demonstrate participation in, and compliance with, the provisions of the plan. Each Contractor or subcontractor participating in an approved plan is also required to comply with its obligations under the Equal Opportunity clause, and to make a good faith effort to achieve each goal under the plan in each trade in which it has employees. The overall good-faith performance by other Contractors or subcontractors toward a goal in an approved plan does not excuse any Contractor's or subcontractor's failure to make good-faith efforts to achieve the plan's goals.

(d) The Contractor shall implement the affirmative action procedures in subparagraphs (g)(1) through (16) of this clause. The goals stated in the solicitation for this contract are expressed as percentages of the total hours of employment and training of minority and female utilization that the Contractor should reasonably be able to achieve in each construction trade in which it has employees in the covered area. If the Contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for the geographical area where that work is actually performed. The Contractor is expected to make substantially uniform progress toward its goals in each craft.

(e) Neither the terms and conditions of any collective bargaining agreement, nor the failure by a union with which the Contractor has a collective bargaining agreement, to refer minorities or women shall excuse the Contractor's obligations under this clause, Executive Order 11246, as amended, or the regulations thereunder.

(f) In order for the nonworking training hours of apprentices and trainees to be counted in meeting the goals, apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor.

(g) The Contractor shall take affirmative action to ensure equal employment opportunity. The evaluation of the Contractor's compliance with this clause shall be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully and implement affirmative action steps at least as extensive as the following:

(1) Ensure a working environment free of harassment, intimidation, and coercion at all sites and in all facilities where the Contractor's employees are assigned to work. The Contractor, if possible, will assign two or more women to each construction project. The Contractor shall ensure that foremen, superintendents, and other onsite supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at these sites or facilities.

(2) Establish and maintain a current list of sources for minority and female recruitment. Provide written notification to minority and female recruitment sources and community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.

(3) Establish and maintain a current file of the names, addresses, and telephone numbers of each minority and female off-the-street applicant, referrals of minorities or females from unions, recruitment sources, or community



organizations, and the action taken with respect to each individual. If an individual was sent to the union hiring hall for referral and not referred back to the Contractor by the union or, if referred back, not employed by the Contractor, this shall be documented in the file, along with whatever additional actions the Contractor may have taken.

(4) Immediately notify the Deputy Assistant Secretary when the union or unions with which the Contractor has a collective bargaining agreement has not referred back to the Contractor a minority or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.

(5) Develop on-the-job training opportunities and/or participate in training programs for the area that expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the sources compiled under subparagraph (g)(2) of this clause.

(6) Disseminate the Contractor's equal employment policy by--

(i) Providing notice of the policy to unions and to training, recruitment, and outreach programs, and requesting their cooperation in assisting the Contractor in meeting its contract obligations;

(ii) Including the policy in any policy manual and in collective bargaining agreements;

(iii) Publicizing the policy in the company newspaper, annual report, etc.;

(iv) Reviewing the policy with all management personnel and with all minority and female employees at least once a year; and

(v) Posting the policy on bulletin boards accessible to employees at each location where construction work is performed.

(7) Review, at least annually, the Contractor's equal employment policy and affirmative action obligations with all employees having responsibility for hiring, assignment, layoff, termination, or other employment decisions. Conduct review of this policy with all on-site supervisory personnel before initiating construction work at a job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.

(8) Disseminate the Contractor's equal employment policy externally by including it in any advertising in the news media, specifically including minority and female news media. Provide written notification to, and discuss this policy with, other Contractors and subcontractors with which the Contractor does or anticipates doing business.

(9) Direct recruitment efforts, both oral and written, to minority, female, and community organizations, to schools with minority and female students, and to minority and female recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than 1 month before the date for acceptance of applications for apprenticeship or training by any recruitment source, send written notification to organizations such as the above, describing the openings, screening procedures, and tests to be used in the selection process.

(10) Encourage present minority and female employees to recruit minority persons and women. Where reasonable, provide after-school, summer, and vacation employment to minority and female youth both on the site and in other areas of the Contractor's workforce.

(11) Validate all tests and other selection requirements where required under 41 CFR 60-3.

(12) Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities. Encourage these employees to seek or to prepare for, through appropriate training, etc., opportunities for promotion.

(13) Ensure that seniority practices, job classifications, work assignments, and other personnel practices do not have a discriminatory effect by continually monitoring all personnel and employment-related activities to ensure that the Contractor's obligations under this contract are being carried out.

(14) Ensure that all facilities and company activities are nonsegregated except that separate or single-user rest rooms and necessary dressing or sleeping areas shall be provided to assure privacy between the sexes.

(15) Maintain a record of solicitations for subcontracts for minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.

(16) Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's equal employment policy and affirmative action obligations.

(h) The Contractor is encouraged to participate in voluntary associations that may assist in fulfilling one or more of the affirmative action obligations contained in subparagraphs (g)(1) through (16) of this clause. The efforts of a contractor association, joint contractor-union, contractor-community, or similar group of which the contractor is a member and participant may be asserted as fulfilling one or more of its obligations under subparagraphs (g)(1) through (16) of this clause, provided the Contractor--

(1) Actively participates in the group;

(2) Makes every effort to ensure that the group has a positive impact on the employment of minorities and women in the industry;

(3) Ensures that concrete benefits of the program are reflected in the Contractor's minority and female workforce participation;

(4) Makes a good-faith effort to meet its individual goals and timetables; and

(5) Can provide access to documentation that demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply is the Contractor's, and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance.

(i) A single goal for minorities and a separate single goal for women shall be established. The Contractor is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and nonminority. Consequently, the Contractor may be in violation of Executive Order 11246, as amended, if a particular group is employed in a substantially disparate manner.

(j) The Contractor shall not use goals or affirmative action standards to discriminate against any person because of race, color, religion, sex, or national origin.

(k) The Contractor shall not enter into any subcontract with any person or firm debarred from Government contracts under Executive Order 11246, as amended.

(l) The Contractor shall carry out such sanctions and penalties for violation of this clause and of the Equal Opportunity clause, including suspension, termination, and cancellation of existing subcontracts, as may be imposed or ordered under Executive Order 11246, as amended, and its implementing regulations, by the OFCCP. Any failure to carry out these sanctions and penalties as ordered shall be a violation of this clause and Executive Order 11246, as amended.

(m) The Contractor in fulfilling its obligations under this clause shall implement affirmative action procedures at least as extensive as those prescribed in paragraph (g) of this clause, so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails to comply with the requirements of Executive

Order 11246, as amended, the implementing regulations, or this clause, the Deputy Assistant Secretary shall take action as prescribed in 41 CFR 60-4.8.

(n) The Contractor shall designate a responsible official to--

(1) Monitor all employment-related activity to ensure that the Contractor's equal employment policy is being carried out;

(2) Submit reports as may be required by the Government; and

(3) Keep records that shall at least include for each employee the name, address, telephone number, construction trade, union affiliation (if any), employee identification number, social security number, race, sex, status (e.g., mechanic, apprentice, trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, separate records are not required to be maintained.

Nothing contained herein shall be construed as a limitation upon the application of other laws that establish different standards of compliance or upon the requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

**52.222-35 AFFIRMATIVE ACTION FOR DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA (APR 1998)**

(a) ) Definitions. As used in this clause--

All employment openings includes all positions except executive and top management, those positions that will be filled from within the contractor's organization, and positions lasting 3 days or less. This term includes full-time employment, temporary employment of more than 3 days' duration, and part-time employment.

Appropriate office of the State employment service system means the local office of the Federal-State national system of public employment offices with assigned responsibility to serve the area where the employment opening is to be filled, including the District of Columbia, Guam, the Commonwealth of Puerto Rico, and the Virgin Islands.

Positions that will be filled from within the Contractor's organization means employment openings for which no consideration will be given to persons outside the Contractor's organization (including any affiliates, subsidiaries, and parent companies) and includes any openings that the Contractor proposes to fill from regularly established "recall" lists. The exception does not apply to a particular opening once an employer decides to consider applicants outside of its organization.

Veteran of the Vietnam era means a person who--

(1) Served on active duty for a period of more than 180 days, any part of which occurred between August 5, 1964, and May 7, 1975, and was discharged or released therefrom with other than a dishonorable discharge; or

(2) Was discharged or released from active duty for a service-connected disability if any part of such active duty was performed between August 5, 1964, and May 7, 1975.

(b) General. (1) Regarding any position for which the employee or applicant for employment is qualified, the Contractor shall not discriminate against the individual because the individual is a disabled veteran or a veteran of the Vietnam era. The Contractor agrees to take affirmative action to employ, advance in employment, and otherwise

treat qualified disabled veterans and veterans of the Vietnam era without discrimination based upon their disability or veterans' status in all employment practices such as--

- (i) Employment;
- (ii) Upgrading;
- (iii) Demotion or transfer;
- (iv) Recruitment;
- (v) Advertising;
- (vi) Layoff or termination;
- (vii) Rates of pay or other forms of compensation; and
- (viii) Selection for training, including apprenticeship.

(2) The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor (Secretary) issued under the Vietnam Era Veterans' Readjustment Assistance Act of 1972 (the Act), as amended.

(c) Listing openings. (1) The Contractor agrees to list all employment openings existing at contract award or occurring during contract performance, at an appropriate office of the State employment service system in the locality where the opening occurs. These openings include those occurring at any Contractor facility, including one not connected with performing this contract. An independent corporate affiliate is exempt from this requirement.

(2) State and local government agencies holding Federal contracts of \$10,000 or more shall also list all their employment openings with the appropriate office of the State employment service.

(3) The listing of employment openings with the State employment service system is required at least concurrently with using any other recruitment source or effort and involves the obligations of placing a bona fide job order, including accepting referrals of veterans and nonveterans. This listing does not require hiring any particular job applicant or hiring from any particular group of job applicants and is not intended to relieve the Contractor from any requirements of Executive orders or regulations concerning nondiscrimination in employment.

(4) Whenever the Contractor becomes contractually bound to the listing terms of this clause, it shall advise the State employment service system, in each State where it has establishments, of the name and location of each hiring location in the State. As long as the Contractor is contractually bound to these terms and has so advised the State system, it need not advise the State system of subsequent contracts. The Contractor may advise the State system when it is no longer bound by this contract clause.

(d) Applicability. This clause does not apply to the listing of employment openings that occur and are filled outside the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, and the Virgin Islands.

(e) Postings. (1) The Contractor agrees to post employment notices stating (i) the Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified disabled veterans and veterans of the Vietnam era, and (ii) the rights of applicants and employees.

(2) These notices shall be posted in conspicuous places that are available to employees and applicants for employment. They shall be in a form prescribed by the Deputy Assistant Secretary for Federal Contract Compliance Programs, Department of Labor (Deputy Assistant Secretary), and provided by or through the Contracting Officer.

(3) The Contractor shall notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of the Act, and is

committed to take affirmative action to employ, and advance in employment, qualified disabled veterans and veterans of the Vietnam Era.

(f) Noncompliance. If the Contractor does not comply with the requirements of this clause, appropriate actions may be taken under the rules, regulations, and relevant orders of the Secretary issued pursuant to the Act.

(g) Subcontracts. The Contractor shall include the terms of this clause in every subcontract or purchase order of \$10,000 or more unless exempted by rules, regulations, or orders of the Secretary. The Contractor shall act as specified by the Deputy Assistant Secretary to enforce the terms, including action for noncompliance.

(End of clause)

**52.222-36 AFFIRMATIVE ACTION FOR WORKERS WITH DISABILITIES (JUN 1998)**

(a) General. (1) Regarding any position for which the employee or applicant for employment is qualified, the Contractor shall not discriminate against any employee or applicant because of physical or mental disability. The Contractor agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified individuals with disabilities without discrimination based upon their physical or mental disability in all employment practices such as--

(i) Recruitment, advertising, and job application procedures;

(ii) Hiring, upgrading, promotion, award of tenure, demotion, transfer, layoff, termination, right of return from layoff, and rehiring;

(iii) Rates of pay or any other form of compensation and changes in compensation;

(iv) Job assignments, job classifications, organizational structures, position descriptions, lines of progression, and seniority lists;

(v) Leaves of absence, sick leave, or any other leave;

(vi) Fringe benefits available by virtue of employment, whether or not administered by the Contractor;

(vii) Selection and financial support for training, including apprenticeships, professional meetings, conferences, and other related activities, and selection for leaves of absence to pursue training;

(viii) Activities sponsored by the Contractor, including social or recreational programs; and

(ix) Any other term, condition, or privilege of employment.

(2) The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor (Secretary) issued under the Rehabilitation Act of 1973 (29 U.S.C. 793) (the Act), as amended.

(b) Postings. (1) The Contractor agrees to post employment notices stating--

(i) The Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified individuals with disabilities; and

(ii) The rights of applicants and employees.

(2) These notices shall be posted in conspicuous places that are available to employees and applicants for employment. The Contractor shall ensure that applicants and employees with disabilities are informed of the contents of the notice (e.g., the Contractor may have the notice read to a visually disabled individual, or may lower the posted notice so that it might be read by a person in a wheelchair). The notices shall be in a form prescribed by the Deputy Assistant Secretary for Federal Contract Compliance of the U.S. Department of Labor (Deputy Assistant Secretary) and shall be provided by or through the Contracting Officer.

(3) The Contractor shall notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of Section 503 of the Act and is committed to take affirmative action to employ, and advance in employment, qualified individuals with physical or mental disabilities.

(c) Noncompliance. If the Contractor does not comply with the requirements of this clause, appropriate actions may be taken under the rules, regulations, and relevant orders of the Secretary issued pursuant to the Act.

(d) Subcontracts. The Contractor shall include the terms of this clause in every subcontract or purchase order in excess of \$10,000 unless exempted by rules, regulations, or orders of the Secretary. The Contractor shall act as specified by the Deputy Assistant Secretary to enforce the terms, including action for noncompliance.

(End of clause)

**52.222-37 EMPLOYMENT REPORTS ON DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA (JAN 1999)**

(a) Unless the Contractor is a State or local government agency, the Contractor shall report at least annually, as required by the Secretary of Labor, on--

(1) The number of disabled veterans and the number of veterans of the Vietnam era in the workforce of the contractor by job category and hiring location; and

(2) The total number of new employees hired during the period covered by the report, and of that total, the number of disabled veterans, and the number of veterans of the Vietnam era.

(b) The above items shall be reported by completing the form entitled "Federal Contractor Veterans' Employment Report VETS-100."

(c) Reports shall be submitted no later than September 30 of each year beginning September 30, 1988.

(d) The employment activity report required by paragraph (a)(2) of this clause shall reflect total hires during the most recent 12-month period as of the ending date selected for the employment profile report required by paragraph (a)(1) of this clause. Contractors may select an ending date: (1) As of the end of any pay period during the period January through March 1st of the year the report is due, or (2) as of December 31, if the contractor has previous written approval from the Equal Employment Opportunity Commission to do so for purposes of submitting the Employer Information Report EEO-1 (Standard Form 100).

(e) The count of veterans reported according to paragraph (a) of this clause shall be based on voluntary disclosure. Each Contractor subject to the reporting requirements at 38 U.S.C. 4212 shall invite all disabled veterans and veterans of the Vietnam era who wish to benefit under the affirmative action program at 38 U.S.C. 4212 to identify themselves to the Contractor. The invitation shall state that the information is voluntarily provided; that the information will be kept confidential; that disclosure or refusal to provide the information will not subject the applicant or employee to any adverse treatment; and that the information will be used only in accordance with the regulations promulgated under 38 U.S.C. 4212.

(f) Subcontracts. The Contractor shall include the terms of this clause in every subcontract or purchase order of \$10,000 or more unless exempted by rules, regulations, or orders of the Secretary.

(End of clause)

**52.223-6 DRUG-FREE WORKPLACE (JAN 1997)**

(a) Definitions. As used in this clause --

"Controlled substance" means a controlled substance in schedules I through V of section 202 of the Controlled Substances Act (21 U.S.C. 812) and as further defined in regulation at 21 CFR 1308.11 - 1308.15.

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to deter- mine violations of the Federal or State criminal drug statutes.

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, possession, or use of any controlled substance.

"Drug-free workplace" means the site(s) for the performance of work done by the Contractor in connection with a specific contract at which employees of the Contractor are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

"Employee" means an employee of a Contractor directly engaged in the performance of work under a Government contract. "Directly engaged" is defined to include all direct cost employees and any other Contractor employee who has other than a minimal impact or involvement in contract performance.

"Individual" means an offeror/contractor that has no more than one employee including the offeror/contractor.

(b) The Contractor, if other than an individual, shall-- within 30 days after award (unless a longer period is agreed to in writing for contracts of 30 days or more performance duration), or as soon as possible for contracts of less than 30 days performance duration--

(1) Publish a statement notifying its employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition;

(2) Establish an ongoing drug-free awareness program to inform such employees about--

(i) The dangers of drug abuse in the workplace;

(ii) The Contractor's policy of maintaining a drug-free workplace;

(iii) Any available drug counseling, rehabilitation, and employee assistance programs; and

(iv) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(3) Provide all employees engaged in performance of the contract with a copy of the statement required by subparagraph (b)(1) of this clause;

(4) Notify such employees in writing in the statement required by subparagraph (b)(1) of this clause that, as a

condition of continued employment on this contract, the employee will--

(i) Abide by the terms of the statement; and

(ii) Notify the employer in writing of the employee's conviction under a criminal drug statute for a violation occurring in the workplace no later than 5 days after such conviction.

(5) Notify the Contracting Officer in writing within 10 days after receiving notice under subdivision (b)(4)(ii) of this clause, from an employee or otherwise receiving actual notice of such conviction. The notice shall include the position title of the employee;

(6) Within 30 days after receiving notice under subdivision (b)(4)(ii) of this clause of a conviction, take one of the following actions with respect to any employee who is convicted of a drug abuse violation occurring in the workplace:

(i) Taking appropriate personnel action against such employee, up to and including termination; or

(ii) Require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and

(7) Make a good faith effort to maintain a drug-free workplace through implementation of subparagraphs (b)(1) through (b)(6) of this clause.

(c) The Contractor, if an individual, agrees by award of the contract or acceptance of a purchase order, not to engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance while performing this contract.

(d) In addition to other remedies available to the Government, the Contractor's failure to comply with the requirements of paragraph (b) or (c) of this clause may, pursuant to FAR 23.506, render the Contractor subject to suspension of contract payments, termination of the contract for default, and suspension or debarment.

(End of clause)

#### **52.223-14 TOXIC CHEMICAL RELEASE REPORTING (OCT 2000)**

(a) Unless otherwise exempt, the Contractor, as owner or operator of a facility used in the performance of this contract, shall file by July 1 for the prior calendar year an annual Toxic Chemical Release Inventory Form (Form R) as described in sections 313(a) and (g) of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) (42 U.S.C. 11023(a) and (g)), and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106). The Contractor shall file, for each facility subject to the Form R filing and reporting requirements, the annual Form R throughout the life of the contract.

(b) A Contractor owned or operated facility used in the performance of this contract is exempt from the requirement to file an annual Form R if--

(1) The facility does not manufacture, process, or otherwise use any toxic chemicals listed under section 313(c) of EPCRA, 42 U.S.C. 11023(c);

(2) The facility does not have 10 or more full-time employees as specified in section 313(b)(1)(A) of EPCRA, 42 U.S.C. 11023(b)(1)(A);



(3) The facility does not meet the reporting thresholds of toxic chemicals established under of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA);

(4) The facility does not fall within Standard Industrial Classification Code (SIC) major groups 20 through 39 or their corresponding North American Industry Classification System (NAICS) sectors 31 through 33; or

(5) The facility is not located within any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the United States Virgin Islands, the Northern Mariana Islands, or any other territory or possession over which the United States has jurisdiction.

(c) If the Contractor has certified to an exemption in accordance with one or more of the criteria in paragraph (b) of this clause, and after award of the contract circumstances change so that any of its owned or operated facilities used in the performance of this contract is no longer exempt--

(1) The Contractor shall notify the Contracting Officer; and

(2) The Contractor, as owner or operator of a facility used in the performance of this contract that is no longer exempt, shall (i) submit a Toxic Chemical Release Inventory Form (Form R) on or before July 1 for the prior calendar year during which the facility becomes eligible; and (ii) continue to file the annual Form R for the life of the contract for such facility.

(d) The Contracting Officer may terminate this contract or take other action as appropriate, if the Contractor fails to comply accurately and fully with the EPCRA and PPA toxic chemical release filing and reporting requirements.

(e) Except for acquisitions of commercial items, as defined in FAR Part 2, the Contractor shall--

(1) For competitive subcontracts expected to exceed \$100,000 (including all options), include a solicitation provision substantially the same as the provision at FAR 52.223-13, Certification of Toxic Chemical Release Reporting; and

(2) Include in any resultant subcontract exceeding \$100,000 (including all options), the substance of this clause, except this paragraph (e).

**52.225-9 BUY AMERICAN ACT--BALANCE OF PAYMENTS PROGRAM—CONSTRUCTION MATERIALS (FEB 2000)**

(a) Definitions. As used in this clause--

Component means any article, material, or supply incorporated directly into construction materials.

Construction material means an article, material, or supply brought to the construction site by the Contractor or a subcontractor for incorporation into the building or work. The term also includes an item brought to the site preassembled from articles, materials, or supplies. However, emergency life safety systems, such as emergency lighting, fire alarm, and audio evacuation systems, that are discrete systems incorporated into a public building or work and that are produced as complete systems, are evaluated as a single and distinct construction material regardless of when or how the individual parts or components of those systems are delivered to the construction site. Materials purchased directly by the Government are supplies, not construction material.

Cost of components means--

(1) For components purchased by the Contractor, the acquisition cost, including transportation costs to the place of incorporation into the end product (whether or not such costs are paid to a domestic firm), and any applicable duty (whether or not a duty-free entry certificate is issued); or

(2) For components manufactured by the Contractor, all costs associated with the manufacture of the component, including transportation costs as described in paragraph (1) of this definition, plus allocable overhead costs, but excluding profit. Cost of components does not include any costs associated with the manufacture of the end product.

Domestic construction material means--

(1) An unmanufactured construction material mined or produced in the United States; or

(2) A construction material manufactured in the United States, if the cost of its components mined, produced, or manufactured in the United States exceeds 50 percent of the cost of all its components. Components of foreign origin of the same class or kind for which nonavailability determinations have been made are treated as domestic.

Foreign construction material means a construction material other than a domestic construction material.

United States means the 50 States and the District of Columbia, U.S. territories and possessions, Puerto Rico, the Northern Mariana Islands, and any other place subject to U.S. jurisdiction, but does not include leased bases.

(b) Domestic preference. (1) This clause implements the Buy American Act (41 U.S.C. 10a-10d) and the Balance of Payments Program by providing a preference for domestic construction material. The Contractor shall use only domestic construction material in performing this contract, except as provided in paragraphs (b)(2) and (b)(3) of this clause.

(2) This requirement does not apply to the construction material or components listed by the Government as follows:  
none

(3) The Contracting Officer may add other foreign construction material to the list in paragraph (b)(2) of this clause if the Government determines that

(i) The cost of domestic construction material would be unreasonable. The cost of a particular domestic construction material subject to the requirements of the Buy American Act is unreasonable when the cost of such material exceeds the cost of foreign material by more than 6 percent. For determination of unreasonable cost under the Balance of Payments Program, the Contracting Officer will use a factor of 50 percent;

(ii) The application of the restriction of the Buy American Act or Balance of Payments Program to a particular construction material would be impracticable or inconsistent with the public interest; or

(iii) The construction material is not mined, produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality.

(c) Request for determination of inapplicability of the Buy American Act or Balance of Payments Program. (1)(i) Any Contractor request to use foreign construction material in accordance with paragraph (b)(3) of this clause shall include adequate information for Government evaluation of the request, including--

(A) A description of the foreign and domestic construction materials;

(B) Unit of measure;

(C) Quantity;

(D) Price;

(E) Time of delivery or availability;

(F) Location of the construction project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign construction materials cited in accordance with paragraph (b)(3) of this clause.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed price comparison table in the format in paragraph (d) of this clause.

(iii) The price of construction material shall include all delivery costs to the construction site and any applicable duty (whether or not a duty-free certificate may be issued).

(iv) Any Contractor request for a determination submitted after contract award shall explain why the Contractor could not reasonably foresee the need for such determination and could not have requested the determination before contract award. If the Contractor does not submit a satisfactory explanation, the Contracting Officer need not make a determination.

(2) If the Government determines after contract award that an exception to the Buy American Act or Balance of Payments Program applies and the Contracting Officer and the Contractor negotiate adequate consideration, the Contracting Officer will modify the contract to allow use of the foreign construction material. However, when the basis for the exception is the unreasonable price of a domestic construction material, adequate consideration is not less than the differential established in paragraph (b)(3)(i) of this clause.

(3) Unless the Government determines that an exception to the Buy American Act or Balance of Payments Program applies, use of foreign construction material is noncompliant with the Buy American Act or Balance of Payments Program.

(d) Data. To permit evaluation of requests under paragraph (c) of this clause based on unreasonable cost, the Contractor shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Construction Materials Price Comparison

Construction material description	Unit of measure	Quantity	Price (dollars) \1\
Item 1			
Foreign construction material....	.....	.....	.....
Domestic construction material...	.....	.....	.....
Item 2			
Foreign construction material....	.....	.....	.....
Domestic construction material...	.....	.....	.....

Include all delivery costs to the construction site and any applicable duty (whether or not a duty-free entry certificate is issued).

List name, address, telephone number, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.

Include other applicable supporting information.

(End of clause)

**52.225-13 RESTRICTIONS ON CERTAIN FOREIGN PURCHASES (JUL 2000)**

(a) The Contractor shall not acquire, for use in the performance of this contract, any supplies or services originating from sources within, or that were located in or transported from or through, countries whose products are banned from importation into the United States under regulations of the Office of Foreign Assets Control, Department of the Treasury. Those countries are Cuba, Iran, Iraq, Libya, North Korea, Sudan, the territory of Afghanistan controlled by the Taliban, and Serbia (excluding the territory of Kosovo).

(b) The Contractor shall not acquire for use in the performance of this contract any supplies or services from entities controlled by the government of Iraq.

(c) The Contractor shall insert this clause, including this paragraph (c), in all subcontracts.

(End of clause)

**52.226-1 UTILIZATION OF INDIAN ORGANIZATIONS AND INDIAN-OWNED ECONOMIC ENTERPRISES (JUN 2000)**

(a) Definitions. As used in this clause:

"Indian" means any person who is a member of any Indian tribe, band, group, pueblo or community that is recognized by the Federal Government as eligible for services from the Bureau of Indian Affairs (BIA) in accordance with 25 U.S.C. 1452(c) and any "Native" as defined in the Alaska Native Claims Settlement Act (43 U.S.C. 1601).

"Indian organization" means the governing body of any Indian tribe or entity established or recognized by the governing body of an Indian tribe for the purposes of 25 U.S.C., chapter 17.

"Indian-owned economic enterprise" means any Indian-owned (as determined by the Secretary of the Interior) commercial, industrial, or business activity established or organized for the purpose of profit, provided that Indian ownership constitute a not less than 51 percent of the enterprise.

"Indian tribe" means any Indian tribe, band, group, pueblo or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act, that is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1542(c).

"Interested party" means a prime contractor or an actual or prospective offeror whose direct economic interest would be affected by the award of a subcontract or by the failure to award a subcontract.

(b) The Contractor shall use its best efforts to give Indian organizations and Indian-owned economic enterprises (25 U.S.C. 1544) the maximum practicable opportunity to participate in the subcontracts it awards to the fullest extent consistent with efficient performance of its contract.

(1) The Contracting Officer and the Contractor, acting in good faith, may rely on the representation of an Indian organization or Indian-owned economic enterprise as to its eligibility, unless an interested party challenges its status or the Contracting Officer has independent reason to question that status. In the event of a challenge to the representation of a subcontractor, the Contracting Officer will refer the matter to the U.S. Department of the Interior, Bureau of Indian Affairs (BIA), Attn: Chief, Division of

Contracting and Grants Administration, 1849 C Street, NW., MS 2626-MIB, Washington, DC 20240-4000.

The BIA will determine the eligibility and notify the Contracting Officer. No incentive payment will be made within 50 working days of subcontract award or while a challenge is pending. If a subcontractor is determined to be an ineligible participant, no incentive payment will be made under the Indian Incentive Program.

(2) The Contractor may request an adjustment under the Indian Incentive Program to the following:

(i) The estimated cost of a cost-type contract.

(ii) The target cost of a cost-plus-incentive-fee prime contract.

(iii) The target cost and ceiling price of a fixed-price incentive prime contract.

(iv) The price of a firm-fixed-price prime contract.

(3) The amount of the adjustment to the prime contract is 5 percent of the estimated cost, target cost, or firm-fixed-price included in the subcontract initially awarded to the Indian organization or Indian-owned economic enterprise.

(4) The Contractor has the burden of proving the amount claimed and must assert its request for an adjustment prior to completion of contract performance.

(c) The Contracting Officer, subject to the terms and conditions of the contract and the availability of funds, will authorize an incentive payment of 5 percent of the amount paid to the subcontractor. The Contracting Officer will seek funding in accordance with agency procedures.

(End of clause)

#### ***52.227-1 AUTHORIZATION AND CONSENT (JUL 1995)***

(a) The Government authorizes and consents to all use and manufacture, in performing this contract or any subcontract at any tier, of any invention described in and covered by a United States patent (1) embodied in the structure or composition of any article the delivery of which is accepted by the Government under this contract or (2) used in machinery, tools, or methods whose use necessarily results from compliance by the Contractor or a subcontractor with (i) specifications or written provisions forming a part of this contract or (ii) specific written instructions given by the Contracting Officer directing the manner of performance. The entire liability to the Government for infringement of a patent of the United States shall be determined solely by the provisions of the indemnity clause, if any, included in this contract or any subcontract hereunder (including any lower-tier subcontract), and the Government assumes liability for all other infringement to the extent of the authorization and consent hereinabove granted.

(b) The Contractor agrees to include, and require inclusion of, this clause, suitably modified to identify the parties, in all subcontracts at any tier for supplies or services (including construction, architect-engineer services, and materials, supplies, models, samples, and design or testing services expected to exceed the simplified acquisition threshold (however, omission of this clause from any subcontract, including those at or below the simplified acquisition threshold, does not affect this authorization and consent.)

**52.227-2 NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT (AUG 1996)**

(a) The Contractor shall report to the Contracting Officer, promptly and in reasonable written detail, each notice or claim of patent or copyright infringement based on the performance of this contract of which the Contractor has knowledge.

(b) In the event of any claim or suit against the Government on account of any alleged patent or copyright infringement arising out of the performance of this contract or out of the use of any supplies furnished or work or services performed under this contract, the Contractor shall furnish to the Government, when requested by the Contracting Officer, all evidence and information in possession of the Contractor pertaining to such suit or claim. Such evidence and information shall be furnished at the expense of the Government except where the Contractor has agreed to indemnify the Government.

(c) The Contractor agrees to include, and require inclusion of, this clause in all subcontracts at any tier for supplies or services (including construction and architect-engineer subcontracts and those for material, supplies, models, samples, or design or testing services) expected to exceed the simplified acquisition threshold at (FAR) 2.101 to exceed the dollar amount set forth in 13.000 of the Federal Acquisition Regulation (FAR).

(End of clause)

**52.227-4 PATENT INDEMNITY--CONSTRUCTION CONTRACTS (APR 1984)**

Except as otherwise provided, the Contractor agrees to indemnify the Government and its officers, agents, and employees against liability, including costs and expenses, for infringement upon any United States patent (except a patent issued upon an application that is now or may hereafter be withheld from issue pursuant to a Secrecy Order under 35 U.S.C. 181) arising out of performing this contract or out of the use or disposal by or for the account of the Government of supplies furnished or work performed under this contract.

**52.228-1 BID GUARANTEE (SEP 1996)**

(a) Failure to furnish a bid guarantee in the proper form and amount, by the time set for opening of bids, may be cause for rejection of the bid.

(b) The bidder shall furnish a bid guarantee in the form of a firm commitment, e.g., bid bond supported by good and sufficient surety or sureties acceptable to the Government, postal money order, certified check, cashier's check, irrevocable letter of credit, or, under Treasury Department regulations, certain bonds or notes of the United States. The Contracting Officer will return bid guarantees, other than bid bonds, (1) to unsuccessful bidders as soon as practicable after the opening of bids, and (2) to the successful bidder upon execution of contractual documents and bonds (including any necessary coinsurance or reinsurance agreements), as required by the bid as accepted.-

(c) The amount of the bid guarantee shall be **twenty (20)** percent of the bid price or \$3,000,000, whichever is less.-

(d) If the successful bidder, upon acceptance of its bid by the Government within the period specified for acceptance, fails to execute all contractual documents or furnish executed bond(s) within 10 days after receipt of the forms by the bidder, the Contracting Officer may terminate the contract for default.-

(e) In the event the contract is terminated for default, the bidder is liable for any cost of acquiring the work that exceeds the amount of its bid, and the bid guarantee is available to offset the difference.

**52.228-11 PLEDGES OF ASSETS (FEB 1992)**

(a) Offerors shall obtain from each person acting as an individual surety on a bid guarantee, a performance bond, or a payment bond--

(1) Pledge of assets; and

(2) Standard Form 28, Affidavit of Individual Surety.

(b) Pledges of assets from each person acting as an individual surety shall be in the form of--

(1) Evidence of an escrow account containing cash, certificates of deposit, commercial or Government securities, or other assets described in FAR 28.203-2 (except see 28.203-2(b)(2) with respect to Government securities held in book entry form) and/or;

(2) A recorded lien on real estate. The offeror will be required to provide--

(i) Evidence of title in the form of a certificate of title prepared by a title insurance company approved by the United States Department of Justice. This title evidence must show fee simple title vested in the surety along with any concurrent owners; whether any real estate taxes are due and payable; and any recorded encumbrances against the property, including the lien filed in favor of the Government as required by FAR 28.203-3(d);

(ii) Evidence of the amount due under any encumbrance shown in the evidence of title;

(iii) A copy of the current real estate tax assessment of the property or a current appraisal dated no earlier than 6 months prior to the date of the bond, prepared by a professional appraiser who certifies that the appraisal has been conducted in accordance with the generally accepted appraisal standards as reflected in the Uniform Standards of Professional Appraisal Practice, as promulgated by the Appraisal Foundation.

(End of clause)

**52.228-14 IRREVOCABLE LETTER OF CREDIT (DEC 1999)**

(a) "Irrevocable letter of credit" (ILC), as used in this clause, means a written commitment by a federally insured financial institution to pay all or part of a stated amount of money, until the expiration date of the letter, upon presentation by the Government (the beneficiary) of a written demand therefor. Neither the financial institution nor the offeror/Contractor can revoke or condition the letter of credit.

(b) If the offeror intends to use an ILC in lieu of a bid bond, or to secure other types of bonds such as performance and payment bonds, the letter of credit and letter of confirmation formats in paragraphs (e) and (f) of this clause shall be used.

(c) The letter of credit shall be irrevocable, shall require presentation of no document other than a written demand and the ILC (including confirming letter, if any), shall be issued/confirmed by an acceptable federally insured financial institution as provided in paragraph (d) of this clause, and--

(1) If used as a bid guarantee, the ILC shall expire no earlier than 60 days after the close of the bid acceptance period;

(2) If used as an alternative to corporate or individual sureties as security for a performance or payment bond, the offeror/Contractor may submit an ILC with an initial expiration date estimated to cover the entire period for which financial security is required or may submit an ILC with an initial expiration date that is a minimum period of one year from the date of issuance. The ILC shall provide that, unless the issuer provides the beneficiary written notice of non-renewal at least 60 days in advance of the current expiration date, the ILC is automatically extended without amendment for one year from the expiration date, or any future expiration date, until the period of required coverage is completed and the Contracting Officer provides the financial institution with a written statement waiving the right to payment. The period of required coverage shall be:

(i) For contracts subject to the Miller Act, the later of--

(A) One year following the expected date of final payment;

(B) For performance bonds only, until completion of any warranty period; or

(C) For payment bonds only, until resolution of all claims filed against the payment bond during the one-year period following final payment.

(ii) For contracts not subject to the Miller Act, the later of--

(A) 90 days following final payment; or

(B) For performance bonds only, until completion of any warranty period.

(d) Only federally insured financial institutions rated investment grade or higher shall issue or confirm the ILC. The offeror/Contractor shall provide the Contracting Officer a credit rating that indicates the financial institution has the required rating(s) as of the date of issuance of the ILC. Unless the financial institution issuing the ILC had letter of credit business of less than \$25 million in the past year, ILCs over \$5 million must be confirmed by another acceptable financial institution that had letter of credit business of less than \$25 million in the past year.

(e) The following format shall be used by the issuing financial institution to create an ILC:

\_\_\_\_\_

[Issuing Financial Institution's Letterhead or Name and Address]

Issue Date \_\_\_\_\_

IRREVOCABLE LETTER OF CREDIT NO. \_\_\_\_\_

Account party's name \_\_\_\_\_

Account party's address \_\_\_\_\_

For Solicitation No. \_\_\_\_\_ (for reference only)

TO: [U.S. Government agency]

[U.S. Government agency's address]

1. We hereby establish this irrevocable and transferable Letter of Credit in your favor for one or more drawings up to United States \$\_\_\_\_\_. This Letter of Credit is payable at [issuing financial institution's and, if any, confirming



financial institution's] office at [issuing financial institution's address and, if any, confirming financial institution's address] and expires with our close of business on \_\_\_\_\_, or any automatically extended expiration date.

2. We hereby undertake to honor your or the transferee's sight draft(s) drawn on the issuing or, if any, the confirming financial institution, for all or any part of this credit if presented with this Letter of Credit and confirmation, if any, at the office specified in paragraph 1 of this Letter of Credit on or before the expiration date or any automatically extended expiration date.

3. [This paragraph is omitted if used as a bid guarantee, and subsequent paragraphs are renumbered.] It is a condition of this Letter of Credit that it is deemed to be automatically extended without amendment for one year from the expiration date hereof, or any future expiration date, unless at least 60 days prior to any expiration date, we notify you or the transferee by registered mail, or other receipted means of delivery, that we elect not to consider this Letter of Credit renewed for any such additional period. At the time we notify you, we also agree to notify the account party (and confirming financial institution, if any) by the same means of delivery.

4. This Letter of Credit is transferable. Transfers and assignments of proceeds are to be effected without charge to either the beneficiary or the transferee/assignee of proceeds. Such transfer or assignment shall be only at the written direction of the Government (the beneficiary) in a form satisfactory to the issuing financial institution and the confirming financial institution, if any.

5. This Letter of Credit is subject to the Uniform Customs and Practice (UCP) for Documentary Credits, 1993 Revision, International Chamber of Commerce Publication No. 500, and to the extent not inconsistent therewith, to the laws of \_\_\_\_\_ [state of confirming financial institution, if any, otherwise state of issuing financial institution].

6. If this credit expires during an interruption of business of this financial institution as described in Article 17 of the UCP, the financial institution specifically agrees to effect payment if this credit is drawn against within 30 days after the resumption of our business.

Sincerely,

\_\_\_\_\_

[Issuing financial institution]

(f) The following format shall be used by the financial institution to confirm an ILC:

\_\_\_\_\_  
[Confirming Financial Institution's Letterhead or Name and Address]

(Date) \_\_\_\_\_

Our Letter of Credit Advice Number \_\_\_\_\_

Beneficiary: \_\_\_\_\_ [U.S. Government agency]

Issuing Financial Institution: \_\_\_\_\_

Issuing Financial Institution's LC No.: \_\_\_\_\_

Gentlemen:

1. We hereby confirm the above indicated Letter of Credit, the original of which is attached, issued by \_\_\_\_\_ [name of issuing financial institution] for drawings of up to United States dollars \_\_\_\_\_/U.S. \$\_\_\_\_\_ and expiring with our close of business on \_\_\_\_\_ [the expiration date], or any automatically extended

expiration date.

2. Draft(s) drawn under the Letter of Credit and this Confirmation are payable at our office located at \_\_\_\_\_.

3. We hereby undertake to honor sight draft(s) drawn under and presented with the Letter of Credit and this Confirmation at our offices as specified herein.

4. [This paragraph is omitted if used as a bid guarantee, and subsequent paragraphs are renumbered.] It is a condition of this confirmation that it be deemed automatically extended without amendment for one year from the expiration date hereof, or any automatically extended expiration date, unless:

(a) At least 60 days prior to any such expiration date, we shall notify the Contracting Officer, or the transferee and the issuing financial institution, by registered mail or other receipted means of delivery, that we elect not to consider this confirmation extended for any such additional period; or

(b) The issuing financial institution shall have exercised its right to notify you or the transferee, the account party, and ourselves, of its election not to extend the expiration date of the Letter of Credit.

5. This confirmation is subject to the Uniform Customs and Practice (UCP) for Documentary Credits, 1993 Revision, International Chamber of Commerce Publication No. 500, and to the extent not inconsistent therewith, to the laws of \_\_\_\_\_ [state of confirming financial institution].

6. If this confirmation expires during an interruption of business of this financial institution as described in Article 17 of the UCP, we specifically agree to effect payment if this credit is drawn against within 30 days after the resumption of our business.

Sincerely,

\_\_\_\_\_

[Confirming financial institution]

(g) The following format shall be used by the Contracting Officer for a sight draft to draw on the Letter of Credit:

**SIGHT DRAFT**

\_\_\_\_\_

[City, State]

(Date) \_\_\_\_\_

[Name and address of financial institution]

Pay to the order of \_\_\_\_\_ [Beneficiary Agency] \_\_\_\_\_ the sum of United States \$ \_\_\_\_\_.  
This draft is drawn under Irrevocable Letter of Credit No. \_\_\_\_\_.

\_\_\_\_\_

[Beneficiary Agency]

By: \_\_\_\_\_

(End of clause)

**52.228-15 PERFORMANCE AND PAYMENT BONDS--CONSTRUCTION (JUL 2000)-**

(a) Definitions. As used in this clause--

Original contract price means the award price of the contract; or, for requirements contracts, the price payable for the estimated total quantity; or, for indefinite-quantity contracts, the price payable for the specified minimum quantity. Original contract price does not include the price of any options, except those options exercised at the time of contract award.

(b) Amount of required bonds. Unless the resulting contract price is \$100,000 or less, the successful offeror shall furnish performance and payment bonds to the Contracting Officer as follows:

(1) Performance bonds (Standard Form 25). The penal amount of performance bonds at the time of contract award shall be 100 percent of the original contract price.

(2) Payment Bonds (Standard Form 25-A). The penal amount of payment bonds at the time of contract award shall be 100 percent of the original contract price.

(3) Additional bond protection. (i) The Government may require additional performance and payment bond protection if the contract price is increased. The increase in protection generally will equal 100 percent of the increase in contract price.

(ii) The Government may secure the additional protection by directing the Contractor to increase the penal amount of the existing bond or to obtain an additional bond.

(c) Furnishing executed bonds. The Contractor shall furnish all executed bonds, including any necessary reinsurance agreements, to the Contracting Officer, within the time period specified in the Bid Guarantee provision of the solicitation, or otherwise specified by the Contracting Officer, but in any event, before starting work.

(d) Surety or other security for bonds. The bonds shall be in the form of firm commitment, supported by corporate sureties whose names appear on the list contained in Treasury Department Circular 570, individual sureties, or by other acceptable security such as postal money order, certified check, cashier's check, irrevocable letter of credit, or, in accordance with Treasury Department regulations, certain bonds or notes of the United States. Treasury Circular 570 is published in the Federal Register or may be obtained from the U.S. Department of Treasury, Financial Management Service, Surety Bond Branch, 401 14th Street, NW, 2nd Floor, West Wing, Washington, DC 20227.

(e) Notice of subcontractor waiver of protection (40 U.S.C. 270b(c)). Any waiver of the right to sue on the payment bond is void unless it is in writing, signed by the person whose right is waived, and executed after such person has first furnished labor or material for use in the performance of the contract.

(End of clause)

**52.229-3 FEDERAL, STATE, AND LOCAL TAXES (JAN 1991)**

(a) "Contract date," as used in this clause, means the date set for bid opening or, if this is a negotiated contract or a modification, the effective date of this contract or modification.

"All applicable Federal, State, and local taxes and duties," as used in this clause, means all taxes and duties, in effect on the contract date, that the taxing authority is imposing and collecting on the transactions or property covered by this contract.

"After-imposed Federal tax," as used in this clause, means any new or increased Federal excise tax or duty, or tax that was exempted or excluded on the contract date but whose exemption was later revoked or reduced during the contract period, on the transactions or property covered by this contract that the Contractor is required to pay or bear as the result of legislative, judicial, or administrative action taking effect after the contract date. It does not include social security tax or other employment taxes.

"After-relieved Federal tax," as used in this clause, means any amount of Federal excise tax or duty, except social security or other employment taxes, that would otherwise have been payable on the transactions or property covered by this contract, but which the Contractor is not required to pay or bear, or for which the Contractor obtains a refund or drawback, as the result of legislative, judicial, or administrative action taking effect after the contract date.

(b) The contract price includes all applicable Federal, State, and local taxes and duties.

(c) The contract price shall be increased by the amount of any after-imposed Federal tax, provided the Contractor warrants in writing that no amount for such newly imposed Federal excise tax or duty or rate increase was included in the contract price, as a contingency reserve or otherwise.

(d) The contract price shall be decreased by the amount of any after-relieved Federal tax.

(e) The contract price shall be decreased by the amount of any Federal excise tax or duty, except social security or other employment taxes, that the Contractor is required to pay or bear, or does not obtain a refund of, through the Contractor's fault, negligence, or failure to follow instructions of the Contracting Officer.

(f) No adjustment shall be made in the contract price under this clause unless the amount of the adjustment exceeds \$250.

(g) The Contractor shall promptly notify the Contracting Officer of all matters relating to any Federal excise tax or duty that reasonably may be expected to result in either an increase or decrease in the contract price and shall take appropriate action as the Contracting Officer directs.

(h) The Government shall, without liability, furnish evidence appropriate to establish exemption from any Federal, State, or local tax when the Contractor requests such evidence and a reasonable basis exists to sustain the exemption.

(End of clause)

#### **52.229-5 TAXES--CONTRACTS PERFORMED IN U.S. POSSESSIONS OR PUERTO RICO (APR 1984)**

The term "local taxes," as used in the Federal, State, and local taxes clause of this contract, includes taxes imposed by a possession of the United States or by Puerto Rico.

(End of clause)

#### **52.232-5 PAYMENTS UNDER FIXED-PRICE CONSTRUCTION CONTRACTS (MAY 1997)**

(a) Payment of price. The Government shall pay the Contractor the contract price as provided in this contract.

(b) Progress payments. The Government shall make progress payments monthly as the work proceeds, or at more frequent intervals as determined by the Contracting Officer, on estimates of work accomplished which meets the standards of quality established under the contract, as approved by the Contracting Officer.

(1) The Contractor's request for progress payments shall include the following substantiation:

(i) An itemization of the amounts requested, related to the various elements of work required by the contract covered by the payment requested.

(ii) A listing of the amount included for work performed by each subcontractor under the contract.

(iii) A listing of the total amount of each subcontract under the contract.

(iv) A listing of the amounts previously paid to each such subcontractor under the contract.

(v) Additional supporting data in a form and detail required by the Contracting Officer.

(2) In the preparation of estimates, the Contracting Officer may authorize material delivered on the site and preparatory work done to be taken into consideration. Material delivered to the Contractor at locations other than the site also may be taken into consideration if--

(i) Consideration is specifically authorized by this contract; and

(ii) The Contractor furnishes satisfactory evidence that it has acquired title to such material and that the material will be used to perform this contract.

(c) Contractor certification. Along with each request for progress payments, the Contractor shall furnish the following certification, or payment shall not be made: (However, if the Contractor elects to delete paragraph (c)(4) from the certification, the certification is still acceptable.)

I hereby certify, to the best of my knowledge and belief, that--

(1) The amounts requested are only for performance in accordance with the specifications, terms, and conditions of the contract;

(2) Payments to subcontractors and suppliers have been made from previous payments received under the contract, and timely payments will be made from the proceeds of the payment covered by this certification, in accordance with subcontract agreements and the requirements of chapter 39 of Title 31, United States Code;

(3) This request for progress payments does not include any amounts which the prime contractor intends to withhold or retain from a subcontractor or supplier in accordance with the terms and conditions of the subcontract; and

(4) This certification is not to be construed as final acceptance of a subcontractor's performance.

\_\_\_\_\_

(Name)

\_\_\_\_\_

(Title)

\_\_\_\_\_

(Date)

(d) Refund of unearned amounts. If the Contractor, after making a certified request for progress payments, discovers that a portion or all of such request constitutes a payment for performance by the Contractor that fails to conform to

the specifications, terms, and conditions of this contract (hereinafter referred to as the "unearned amount"), the Contractor shall--

(1) Notify the Contracting Officer of such performance deficiency; and

(2) Be obligated to pay the Government an amount (computed by the Contracting Officer in the manner provided in paragraph (j) of this clause) equal to interest on the unearned amount from the 8th day after the date of receipt of the unearned amount until--

(i) The date the Contractor notifies the Contracting Officer that the performance deficiency has been corrected; or

(ii) The date the Contractor reduces the amount of any subsequent certified request for progress payments by an amount equal to the unearned amount.

(e) Retainage. If the Contracting Officer finds that satisfactory progress was achieved during any period for which a progress payment is to be made, the Contracting Officer shall authorize payment to be made in full. However, if satisfactory progress has not been made, the Contracting Officer may retain a maximum of 10 percent of the amount of the payment until satisfactory progress is achieved. When the work is substantially complete, the Contracting Officer may retain from previously withheld funds and future progress payments that amount the Contracting Officer considers adequate for protection of the Government and shall release to the Contractor all the remaining withheld funds. Also, on completion and acceptance of each separate building, public work, or other division of the contract, for which the price is stated separately in the contract, payment shall be made for the completed work without retention of a percentage.

(f) Title, liability, and reservation of rights. All material and work covered by progress payments made shall, at the time of payment, become the sole property of the Government, but this shall not be construed as--

(1) Relieving the Contractor from the sole responsibility for all material and work upon which payments have been made or the restoration of any damaged work; or

(2) Waiving the right of the Government to require the fulfillment of all of the terms of the contract.

(g) Reimbursement for bond premiums. In making these progress payments, the Government shall, upon request, reimburse the Contractor for the amount of premiums paid for performance and payment bonds (including coinsurance and reinsurance agreements, when applicable) after the Contractor has furnished evidence of full payment to the surety. The retainage provisions in paragraph (e) of this clause shall not apply to that portion of progress payments attributable to bond premiums.

(h) Final payment. The Government shall pay the amount due the Contractor under this contract after--

(1) Completion and acceptance of all work;

(2) Presentation of a properly executed voucher; and

(3) Presentation of release of all claims against the Government arising by virtue of this contract, other than claims, in stated amounts, that the Contractor has specifically excepted from the operation of the release. A release may also be required of the assignee if the Contractor's claim to amounts payable under this contract has been assigned under the Assignment of Claims Act of 1940 (31 U.S.C. 3727 and 41 U.S.C. 15).

(i) Limitation because of undefinitized work. Notwithstanding any provision of this contract, progress payments shall not exceed 80 percent on work accomplished on undefinitized contract actions. A "contract action" is any action resulting in a contract, as defined in FAR Subpart 2.1, including contract modifications for additional supplies or services, but not including contract modifications that are within the scope and under the terms of the contract, such as contract modifications issued pursuant to the Changes clause, or funding and other administrative changes.

(j) Interest computation on unearned amounts. In accordance with 31 U.S.C. 3903(c)(1), the amount payable under subparagraph (d)(2) of this clause shall be--

(1) Computed at the rate of average bond equivalent rates of 91-day Treasury bills auctioned at the most recent auction of such bills prior to the date the Contractor receives the unearned amount; and

(2) Deducted from the next available payment to the Contractor.

**52.232-17 INTEREST (JUNE 1996)**

(a) Except as otherwise provided in this contract under a Price Reduction for Defective Cost or Pricing Data clause or a Cost Accounting Standards clause, all amounts that become payable by the Contractor to the Government under this contract (net of any applicable tax credit under the Internal Revenue Code (26 U.S.C. 1481)) shall bear simple interest from the date due until paid unless paid within 30 days of becoming due. The interest rate shall be the interest rate established by the Secretary of the Treasury as provided in Section 12 of the Contract Disputes Act of 1978 (Public Law 95-563), which is applicable to the period in which the amount becomes due, as provided in paragraph (b) of this clause, and then at the rate applicable for each six-month period as fixed by the Secretary until the amount is paid. reproduce, prepare derivative works, distribute copies to the public, and (b) Amounts shall be due at the earliest of the following dates:

(1) The date fixed under this contract.

(2) The date of the first written demand for payment consistent with this contract, including any demand resulting from a default termination.

(3) The date the Government transmits to the Contractor a proposed supplemental agreement to confirm completed negotiations establishing the amount of debt.

(4) If this contract provides for revision of prices, the date of written notice to the Contractor stating the amount of refund payable in connection with a pricing proposal or a negotiated pricing agreement not confirmed by contract modification.

(c) The interest charge made under this clause may be reduced under the procedures prescribed in 32.614-2 of the Federal Acquisition Regulation in effect on the date of this contract.

**52.232-23 ASSIGNMENT OF CLAIMS (JAN 1986)**

(a) The Contractor, under the Assignment of Claims Act, as amended, 31 U.S.C. 3727, 41 U.S.C. 15 (hereafter referred to as "the Act"), may assign its rights to be paid amounts due or to become due as a result of the performance of this contract to a bank, trust company, or other financing institution, including any Federal lending agency. The assignee under such an assignment may thereafter further assign or reassign its right under the original assignment to any type of financing institution described in the preceding sentence.

(b) Any assignment or reassignment authorized under the Act and this clause shall cover all unpaid amounts payable under this contract, and shall not be made to more than one party, except that an assignment or reassignment may be

made to one party as agent or trustee for two or more parties participating in the financing of this contract.

(c) The Contractor shall not furnish or disclose to any assignee under this contract any classified document (including this contract) or information related to work under this contract until the Contracting Officer authorizes such action in writing.

**52.232-27 PROMPT PAYMENT FOR CONSTRUCTION CONTRACTS (JUN 1997)**

Notwithstanding any other payment terms in this contract, the Government will make invoice payments and contract financing payments under the terms and conditions specified in this clause. Payment shall be considered as being made on the day a check is dated or the date of an electronic funds transfer. Definitions of pertinent terms are set forth in section 32.902 of the Federal Acquisition Regulation. All days referred to in this clause are calendar days, unless otherwise specified. (However, see subparagraph (a)(3) concerning payments due on Saturdays, Sundays, and legal holidays.)

(a) Invoice payments. (1) Types of invoice payments. For purposes of this clause, there are several types of invoice payments that may occur under this contract, as follows:

(i) Progress payments, if provided for elsewhere in this contract, based on Contracting Officer approval of the estimated amount and value of work or services performed, including payments for reaching milestones in any project:

(A) The due date for making such payments shall be 14 days after receipt of the payment request by the designated billing office. If the designated billing office fails to annotate the payment request with the actual date of receipt at the time of receipt, the payment due date shall be the 14th day after the date of the Contractor's payment request, provided a proper payment request is received and there is no disagreement over quantity, quality, or Contractor compliance with contract requirements.

(B) The due date for payment of any amounts retained by the Contracting Officer in accordance with the clause at 52.232-5, Payments Under Fixed-Price Construction Contracts, shall be as specified in the contract or, if not specified, 30 days after approval for release to the Contractor by the Contracting Officer.

(ii) Final payments based on completion and acceptance of all work and presentation of release of all claims against the Government arising by virtue of the contract, and payments for partial deliveries that have been accepted by the Government (e.g., each separate building, public work, or other division of the contract for which the price is stated separately in the contract):

(A) The due date for making such payments shall be either the 30th day after receipt by the designated billing office of a proper invoice from the Contractor, or the 30th day after Government acceptance of the work or services completed by the Contractor, whichever is later. If the designated billing office fails to annotate the invoice with the date of actual receipt at the time of receipt, the invoice payment due date shall be the 30th day after the date of the Contractor's invoice, provided a proper invoice is received and there is no disagreement over quantity, quality, or Contractor compliance with contract requirements.

(B) On a final invoice where the payment amount is subject to contract settlement actions (e.g., release of claims), acceptance shall be deemed to have occurred on the effective date of the contract settlement.

(2) Contractor's invoice. The Contractor shall prepare and submit invoices to the designated billing office specified in the contract. A proper invoice must include the items listed in subdivisions (a)(2)(i) through (a)(2)(ix) of this clause. If the invoice does not comply with these requirements, it shall be returned within 7 days after the date the



designated billing office received the invoice, with a statement of the reasons why it is not a proper invoice. Untimely notification will be taken into account in computing any interest penalty owed the Contractor in the manner described in subparagraph (a)(4) of this clause.

(i) Name and address of the Contractor.

(ii) Invoice date. (The Contractor is encouraged to date invoices as close as possible to the date of mailing or transmission.)

(iii) Contract number or other authorization for work or services performed (including order number and contract line item number).

(iv) Description of work or services performed.

(v) Delivery and payment terms (e.g., prompt payment discount terms).

(vi) Name and address of Contractor official to whom payment is to be sent (must be the same as that in the contract or in a proper notice of assignment).

(vii) Name (where practicable), title, phone number, and mailing address of person to be notified in the event of a defective invoice.

(viii) For payments described in subdivision (a)(1)(i) of this clause, substantiation of the amounts requested and certification in accordance with the requirements of the clause at 52.232-5, Payments Under Fixed-Price Construction Contracts.

(ix) Any other information or documentation required by the contract.

(x) While not required, the Contractor is strongly encouraged to assign an identification number to each invoice.

(3) Interest penalty. An interest penalty shall be paid automatically by the designated payment office, without request from the Contractor, if payment is not made by the due date and the conditions listed in subdivisions (a)(3)(i) through (a)(3)(iii) of this clause are met, if applicable. However, when the due date falls on a Saturday, Sunday, or legal holiday when Federal Government offices are closed and Government business is not expected to be conducted, payment may be made on the following business day without incurring a late payment interest penalty.

(i) A proper invoice was received by the designated billing office.

(ii) A receiving report or other Government documentation authorizing payment was processed and there was no disagreement over quantity, quality, Contractor compliance with any contract term or condition, or requested progress payment amount.

(iii) In the case of a final invoice for any balance of funds due the Contractor for work or services performed, the amount was not subject to further contract settlement actions between the Government and the Contractor.

(4) Computing penalty amount. The interest penalty shall be at the rate established by the Secretary of the Treasury under section 12 of the Contract Disputes Act of 1978 (41 U.S.C. 611) that is in effect on the day after the due date, except where the interest penalty is prescribed by other governmental authority (e.g., tariffs). This rate is referred to as the "Renegotiation Board Interest Rate," and it is published in the Federal Register semiannually on or about January 1 and July 1. The interest penalty shall accrue daily on the invoice principal payment amount approved by the Government until the payment date of such approved principal amount; and will be compounded in 30-day increments inclusive from the first day after the due date through the payment date. That is, interest accrued at the end of any 30-day period will be added to the approved invoice principal payment amount and will be subject to interest penalties if not paid in the succeeding 30-day period. If the designated billing office failed to notify the

Contractor of a defective invoice within the periods prescribed in subparagraph (a)(2) of this clause, the due date on the corrected invoice will be adjusted by subtracting from such date the number of days taken beyond the prescribed notification of defects period. Any interest penalty owed the Contractor will be based on this adjusted due date. Adjustments will be made by the designated payment office for errors in calculating interest penalties.

(i) For the sole purpose of computing an interest penalty that might be due the Contractor for payments described in subdivision (a)(1)(ii) of this clause, Government acceptance or approval shall be deemed to have occurred constructively on the 7th day after the Contractor has completed the work or services in accordance with the terms and conditions of the contract. In the event that actual acceptance or approval occurs within the constructive acceptance or approval period, the determination of an interest penalty shall be based on the actual date of acceptance or approval. Constructive acceptance or constructive approval requirements do not apply if there is a disagreement over quantity, quality, or Contractor compliance with a contract provision. These requirements also do not compel Government officials to accept work or services, approve Contractor estimates, perform contract administration functions, or make payment prior to fulfilling their responsibilities.

(ii) The following periods of time will not be included in the determination of an interest penalty:

(A) The period taken to notify the Contractor of defects in invoices submitted to the Government, but this may not exceed 7 days.

(B) The period between the defects notice and resubmission of the corrected invoice by the Contractor.

(C) For incorrect electronic funds transfer (EFT) information, in accordance with the EFT clause of this contract.

(iii) Interest penalties will not continue to accrue after the filing of a claim for such penalties under the clause at 52.233-1, Disputes, or for more than 1 year. Interest penalties of less than \$1 need not be paid.

(iv) Interest penalties are not required on payment delays due to disagreement between the Government and the Contractor over the payment amount or other issues involving contract compliance, or on amounts temporarily withheld or retained in accordance with the terms of the contract. Claims involving disputes, and any interest that may be payable, will be resolved in accordance with the clause at 52.233-1, Disputes.

(5) Prompt payment discounts. An interest penalty also shall be paid automatically by the designated payment office, without request from the Contractor, if a discount for prompt payment is taken improperly. The interest penalty will be calculated on the amount of discount taken for the period beginning with the first day after the end of the discount period through the date when the Contractor is paid.

(6) Additional interest penalty. (i) If this contract was awarded on or after October 1, 1989, a penalty amount, calculated in accordance with subdivision (a)(6)(iii) of this clause, shall be paid in addition to the interest penalty amount if the Contractor--

(A) Is owed an interest penalty of \$1 or more;

(B) Is not paid the interest penalty within 10 days after the date the invoice amount is paid; and

(C) Makes a written demand to the designated payment office for additional penalty payment, in accordance with subdivision (a)(6)(ii) of this clause, postmarked not later than 40 days after the date the invoice amount is paid.

(ii)(A) Contractors shall support written demands for additional penalty payments with the following data. No additional data shall be required. Contractors shall--

(1) Specifically assert that late payment interest is due under a specific invoice, and request payment of all overdue late payment interest penalty and such additional penalty as may be required;

(2) Attach a copy of the invoice on which the unpaid late payment interest was due; and

(3) State that payment of the principal has been received, including the date of receipt.

(B) Demands must be postmarked on or before the 40th day after payment was made, except that--

(1) If the postmark is illegible or nonexistent, the demand must have been received and annotated with the date of receipt by the designated payment office on or before the 40th day after payment was made; or

(2) If the postmark is illegible or nonexistent and the designated payment office fails to make the required annotation, the demand's validity will be determined by the date the Contractor has placed on the demand; provided such date is no later than the 40th day after payment was made.

(iii)(A) The additional penalty shall be equal to 100 percent of any original late payment interest penalty, except--

(1) The additional penalty shall not exceed \$5,000;

(2) The additional penalty shall never be less than \$25; and

(3) No additional penalty is owed if the amount of the underlying interest penalty is less than \$1.

(B) If the interest penalty ceases to accrue in accordance with the limits stated in subdivision (a)(4)(iii) of this clause, the amount of the additional penalty shall be calculated on the amount of interest penalty that would have accrued in the absence of these limits, subject to the overall limits on the additional penalty specified in subdivision (a)(6)(iii)(A) of this clause.

(C) For determining the maximum and minimum additional penalties, the test shall be the interest penalty due on each separate payment made for each separate contract. The maximum and minimum additional penalty shall not be based upon individual invoices unless the invoices are paid separately. Where payments are consolidated for disbursing purposes, the maximum and minimum additional penalty determination shall be made separately for each contract therein.

(D) The additional penalty does not apply to payments regulated by other Government regulations (e.g., payments under utility contracts subject to tariffs and regulation).

(b) Contract financing payments. (1) Due dates for recurring financing payments. If this contract provides for contract financing, requests for payment shall be submitted to the designated billing office as specified in this contract or as directed by the Contracting Officer. Contract financing payments shall be made on the [insert day as prescribed by Agency head; if not prescribed, insert 30th day] day after receipt of a proper contract financing request by the designated billing office. In the event that an audit or other review of a specific financing request is required to ensure compliance with the terms and conditions of the contract, the designated payment office is not compelled to make payment by the due date specified.

(2) Due dates for other contract financing. For advance payments, loans, or other arrangements that do not involve recurring submissions of contract financing requests, payment shall be made in accordance with the corresponding contract terms or as directed by the Contracting Officer.

(3) Interest penalty not applicable. Contract financing payments shall not be assessed an interest penalty for payment delays.

(c) Subcontract clause requirements. The Contractor shall include in each subcontract for property or services (including a material supplier) for the purpose of performing this contract the following:

(1) Prompt payment for subcontractors. A payment clause that obligates the Contractor to pay the subcontractor for satisfactory performance under its subcontract not later than 7 days from receipt of payment out of such amounts as are paid to the Contractor under this contract.

(2) Interest for subcontractors. An interest penalty clause that obligates the Contractor to pay to the subcontractor an interest penalty for each payment not made in accordance with the payment clause--

(i) For the period beginning on the day after the required payment date and ending on the date on which payment of the amount due is made; and

(ii) Computed at the rate of interest established by the Secretary of the Treasury, and published in the Federal Register, for interest payments under section 12 of the Contract Disputes Act of 1978 (41 U.S.C. 611) in effect at the time the Contractor accrues the obligation to pay an interest penalty.

(3) Subcontractor clause flowdown. A clause requiring each subcontractor to include a payment clause and an interest penalty clause conforming to the standards set forth in subparagraphs (c)(1) and (c)(2) of this clause in each of its subcontracts, and to require each of its subcontractors to include such clauses in their subcontracts with each lower-tier subcontractor or supplier.

(d) Subcontract clause interpretation. The clauses required by paragraph (c) of this clause shall not be construed to impair the right of the Contractor or a subcontractor at any tier to negotiate, and to include in their subcontract, provisions that--

(1) Retainage permitted. Permit the Contractor or a subcontractor to retain (without cause) a specified percentage of each progress payment otherwise due to a subcontractor for satisfactory performance under the subcontract without incurring any obligation to pay a late payment interest penalty, in accordance with terms and conditions agreed to by the parties to the subcontract, giving such recognition as the parties deem appropriate to the ability of a subcontractor to furnish a performance bond and a payment bond;

(2) Withholding permitted. Permit the Contractor or subcontractor to make a determination that part or all of the subcontractor's request for payment may be withheld in accordance with the subcontract agreement; and

(3) Withholding requirements. Permit such withholding without incurring any obligation to pay a late payment penalty if--

(i) A notice conforming to the standards of paragraph (g) of this clause previously has been furnished to the subcontractor; and

(ii) A copy of any notice issued by a Contractor pursuant to subdivision (d)(3)(i) of this clause has been furnished to the Contracting Officer.

(e) Subcontractor withholding procedures. If a Contractor, after making a request for payment to the Government but before making a payment to a subcontractor for the subcontractor's performance covered by the payment request, discovers that all or a portion of the payment otherwise due such subcontractor is subject to withholding from the subcontractor in accordance with the subcontract agreement, then the Contractor shall--

(1) Subcontractor notice. Furnish to the subcontractor a notice conforming to the standards of paragraph (g) of this clause as soon as practicable upon ascertaining the cause giving rise to a withholding, but prior to the due date for subcontractor payment;

(2) Contracting Officer notice. Furnish to the Contracting Officer, as soon as practicable, a copy of the notice furnished to the subcontractor pursuant to subparagraph (e)(1) of this clause;

(3) Subcontractor progress payment reduction. Reduce the subcontractor's progress payment by an amount not to exceed the amount specified in the notice of withholding furnished under subparagraph (e)(1) of this clause;

(4) Subsequent subcontractor payment. Pay the subcontractor as soon as practicable after the correction of the identified subcontract performance deficiency, and--

(i) Make such payment within--

(A) Seven days after correction of the identified subcontract performance deficiency (unless the funds therefor must be recovered from the Government because of a reduction under subdivision (e)(5)(i)) of this clause; or

(B) Seven days after the Contractor recovers such funds from the Government; or

(ii) Incur an obligation to pay a late payment interest penalty computed at the rate of interest established by the Secretary of the Treasury, and published in the Federal Register, for interest payments under section 12 of the Contracts Disputes Act of 1978 (41 U.S.C. 611) in effect at the time the Contractor accrues the obligation to pay an interest penalty;

(5) Notice to Contracting Officer. Notify the Contracting Officer upon--

(i) Reduction of the amount of any subsequent certified application for payment; or

(ii) Payment to the subcontractor of any withheld amounts of a progress payment, specifying--

(A) The amounts withheld under subparagraph (e)(1) of this clause; and

(B) The dates that such withholding began and ended; and

(6) Interest to Government. Be obligated to pay to the Government an amount equal to interest on the withheld payments (computed in the manner provided in 31 U.S.C. 3903(c)(1)), from the 8th day after receipt of the withheld amounts from the Government until--

(i) The day the identified subcontractor performance deficiency is corrected; or

(ii) The date that any subsequent payment is reduced under subdivision (e)(5)(i) of this clause.

(f) Third-party deficiency reports. (1) Withholding from subcontractor. If a Contractor, after making payment to a first-tier subcontractor, receives from a supplier or subcontractor of the first-tier subcontractor (hereafter referred to as a "second-tier subcontractor") a written notice in accordance with section 2 of the Act of August 24, 1935 (40 U.S.C. 270b, Miller Act), asserting a deficiency in such first-tier subcontractor's performance under the contract for which the Contractor may be ultimately liable, and the Contractor determines that all or a portion of future payments otherwise due such first-tier subcontractor is subject to withholding in accordance with the subcontract agreement, the Contractor may, without incurring an obligation to pay an interest penalty under subparagraph (e)(6) of this clause--

(i) Furnish to the first-tier subcontractor a notice conforming to the standards of paragraph (g) of this clause as soon as practicable upon making such determination; and

(ii) Withhold from the first-tier subcontractor's next available progress payment or payments an amount not to exceed the amount specified in the notice of withholding furnished under subdivision (f)(1)(i) of this clause.

(2) Subsequent payment or interest charge. As soon as practicable, but not later than 7 days after receipt of satisfactory written notification that the identified subcontract performance deficiency has been corrected, the Contractor shall--

(i) Pay the amount withheld under subdivision (f)(1)(ii) of this clause to such first-tier subcontractor; or

(ii) Incur an obligation to pay a late payment interest penalty to such first-tier subcontractor computed at the rate of interest established by the Secretary of the Treasury, and published in the Federal Register, for interest payments under section 12 of the Contracts Disputes Act of 1978 (41 U.S.C. 611) in effect at the time the Contractor accrues

the obligation to pay an interest penalty.

(g) Written notice of subcontractor withholding. A written notice of any withholding shall be issued to a subcontractor (with a copy to the Contracting Officer of any such notice issued by the Contractor), specifying--

- (1) The amount to be withheld;
- (2) The specific causes for the withholding under the terms of the subcontract; and
- (3) The remedial actions to be taken by the subcontractor in order to receive payment of the amounts withheld.

(h) Subcontractor payment entitlement. The Contractor may not request payment from the Government of any amount withheld or retained in accordance with paragraph (d) of this clause until such time as the Contractor has determined and certified to the Contracting Officer that the subcontractor is entitled to the payment of such amount.

(i) Prime-subcontractor disputes. A dispute between the Contractor and subcontractor relating to the amount or entitlement of a subcontractor to a payment or a late payment interest penalty under a clause included in the subcontract pursuant to paragraph (c) of this clause does not constitute a dispute to which the United States is a party. The United States may not be interpleaded in any judicial or administrative proceeding involving such a dispute.

(j) Preservation of prime-subcontractor rights. Except as provided in paragraph (i) of this clause, this clause shall not limit or impair any contractual, administrative, or judicial remedies otherwise available to the Contractor or a subcontractor in the event of a dispute involving late payment or nonpayment by the Contractor or deficient subcontract performance or nonperformance by a subcontractor.

(k) Non-recourse for prime contractor interest penalty. The Contractor's obligation to pay an interest penalty to a subcontractor pursuant to the clauses included in a subcontract under paragraph (c) of this clause shall not be construed to be an obligation of the United States for such interest penalty. A cost-reimbursement claim may not include any amount for reimbursement of such interest penalty.

**52.232-33 PAYMENT BY ELECTRONIC FUNDS TRANSFER—CENTRAL CONTRACTOR REGISTRATION (MAY 1999)**

(a) Method of payment. (1) All payments by the Government under this contract shall be made by electronic funds transfer (EFT), except as provided in paragraph (a)(2) of this clause. As used in this clause, the term "EFT" refers to the funds transfer and may also include the payment information transfer.

(2) In the event the Government is unable to release one or more payments by EFT, the Contractor agrees to either--

- (i) Accept payment by check or some other mutually agreeable method of payment; or
- (ii) Request the Government to extend the payment due date until such time as the Government can make payment by EFT (but see paragraph (d) of this clause).

(b) Contractor's EFT information. The Government shall make payment to the Contractor using the EFT information contained in the Central Contractor Registration (CCR) database. In the event that the EFT information changes, the Contractor shall be responsible for providing the updated information to the CCR database.

(c) Mechanisms for EFT payment. The Government may make payment by EFT through either the Automated Clearing House (ACH) network, subject to the rules of the National Automated Clearing House Association, or the

Fedwire Transfer System. The rules governing Federal payments through the ACH are contained in 31 CFR part 210.

(d) Suspension of payment. If the Contractor's EFT information in the CCR database is incorrect, then the Government need not make payment to the Contractor under this contract until correct EFT information is entered into the CCR database; and any invoice or contract financing request shall be deemed not to be a proper invoice for the purpose of prompt payment under this contract. The prompt payment terms of the contract regarding notice of an improper invoice and delays in accrual of interest penalties apply.

(e) Contractor EFT arrangements. If the Contractor has identified multiple payment receiving points (i.e., more than one remittance address and/or EFT information set) in the CCR database, and the Contractor has not notified the Government of the payment receiving point applicable to this contract, the Government shall make payment to the first payment receiving point (EFT information set or remittance address as applicable) listed in the CCR database.

(f) Liability for uncompleted or erroneous transfers. (1) If an uncompleted or erroneous transfer occurs because the Government used the Contractor's EFT information incorrectly, the Government remains responsible for--

(i) Making a correct payment;

(ii) Paying any prompt payment penalty due; and

(iii) Recovering any erroneously directed funds.

(2) If an uncompleted or erroneous transfer occurs because the Contractor's EFT information was incorrect, or was revised within 30 days of Government release of the EFT payment transaction instruction to the Federal Reserve System, and--

(i) If the funds are no longer under the control of the payment office, the Government is deemed to have made payment and the Contractor is responsible for recovery of any erroneously directed funds; or

(ii) If the funds remain under the control of the payment office, the Government shall not make payment, and the provisions of paragraph (d) of this clause shall apply.

(g) EFT and prompt payment. A payment shall be deemed to have been made in a timely manner in accordance with the prompt payment terms of this contract if, in the EFT payment transaction instruction released to the Federal Reserve System, the date specified for settlement of the payment is on or before the prompt payment due date, provided the specified payment date is a valid date under the rules of the Federal Reserve System.

(h) EFT and assignment of claims. If the Contractor assigns the proceeds of this contract as provided for in the assignment of claims terms of this contract, the Contractor shall require as a condition of any such assignment, that the assignee shall register in the CCR database and shall be paid by EFT in accordance with the terms of this clause. In all respects, the requirements of this clause shall apply to the assignee as if it were the Contractor. EFT information that shows the ultimate recipient of the transfer to be other than the Contractor, in the absence of a proper assignment of claims acceptable to the Government, is incorrect EFT information within the meaning of paragraph (d) of this clause.

(i) Liability for change of EFT information by financial agent. The Government is not liable for errors resulting from changes to EFT information made by the Contractor's financial agent.

(j) Payment information. The payment or disbursing office shall forward to the Contractor available payment information that is suitable for transmission as of the date of release of the EFT instruction to the Federal Reserve System. The Government may request the Contractor to designate a desired format and method(s) for delivery of payment information from a list of formats and methods the payment office is capable of executing. However, the Government does not guarantee that any particular format or method of delivery is available at any particular payment office and retains the latitude to use the format and delivery method most convenient to the Government. If

the Government makes payment by check in accordance with paragraph (a) of this clause, the Government shall mail the payment information to the remittance address contained in the CCR database.

(End of Clause)

**52.233-1 DISPUTES. (DEC 1998)**

(a) This contract is subject to the Contract Disputes Act of 1978, as amended (41 U.S.C. 601-613).

(b) Except as provided in the Act, all disputes arising under or relating to this contract shall be resolved under this clause.

(c) "Claim," as used in this clause, means a written demand or written assertion by one of the contracting parties seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to this contract. A claim arising under a contract, unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. However, a written demand or written assertion by the Contractor seeking the payment of money exceeding \$100,000 is not a claim under the Act until certified as required by subparagraph (d)(2) of this clause. A voucher, invoice, or other routine request for payment that is not in dispute when submitted is not a claim under the Act. The submission may be converted to a claim under the Act, by complying with the submission and certification requirements of this clause, if it is disputed either as to liability or amount or is not acted upon in a reasonable time.

(d)(1) A claim by the Contractor shall be made in writing and, unless otherwise stated in this contract, submitted within 6 years after accrual of the claim to the Contracting Officer for a written decision. A claim by the Government against the Contractor shall be subject to a written decision by the Contracting Officer.

(2)(i) The contractors shall provide the certification specified in subparagraph (d)(2)(iii) of this clause when submitting any claim -

(A) Exceeding \$100,000; or

(B) Regardless of the amount claimed, when using -

(1) Arbitration conducted pursuant to 5 U.S.C. 575-580; or

(2) Any other alternative means of dispute resolution (ADR) technique that the agency elects to handle in accordance with the Administrative Dispute Resolution Act (ADRA).

(ii) The certification requirement does not apply to issues in controversy that have not been submitted as all or part of a claim.

(iii) The certification shall state as follows: "I certify that the claim is made in good faith; that the supporting data are accurate and complete to the best of my knowledge and belief; that the amount requested accurately reflects the contract adjustment for which the Contractor believes the Government is liable; and that I am duly authorized to certify the claim on behalf of the Contractor.

(3) The certification may be executed by any person duly authorized to bind the Contractor with respect to the claim.

(e) For Contractor claims of \$100,000 or less, the Contracting Officer must, if requested in writing by the Contractor, render a decision within 60 days of the request. For Contractor-certified claims over \$100,000, the Contracting Officer must, within 60 days, decide the claim or notify the Contractor of the date by which the decision will be made.



(f) The Contracting Officer's decision shall be final unless the Contractor appeals or files a suit as provided in the Act.

(g) If the claim by the Contractor is submitted to the Contracting Officer or a claim by the Government is presented to the Contractor, the parties, by mutual consent, may agree to use alternative dispute resolution (ADR). If the Contractor refuses an offer for ADR, the Contractor shall inform the Contracting Officer, in writing, of the Contractor's specific reasons for rejecting the request.

(h) The Government shall pay interest on the amount found due and unpaid from (1) the date the Contracting Officer receives the claim (certified, if required); or (2) the date that payment otherwise would be due, if that date is later, until the date of payment. With regard to claims having defective certifications, as defined in (FAR) 48 CFR 33.201, interest shall be paid from the date that the Contracting Officer initially receives the claim. Simple interest on claims shall be paid at the rate, fixed by the Secretary of the Treasury as provided in the Act, which is applicable to the period during which the Contracting Officer receives the claim and then at the rate applicable for each 6-month period as fixed by the Treasury Secretary during the pendency of the claim.

(i) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under the contract, and comply with any decision of the Contracting Officer.

(End of clause)

#### **52.233-3    *PROTEST AFTER AWARD (AUG. 1996)***

(a) Upon receipt of a notice of protest (as defined in FAR 33.101) or a determination that a protest is likely (see FAR 33.102(d)), the Contracting Officer may, by written order to the Contractor, direct the Contractor to stop performance of the work called for by this contract. The order shall be specifically identified as a stop-work order issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Upon receipt of the final decision in the protest, the Contracting Officer shall either--

(1) Cancel the stop-work order; or

(2) Terminate the work covered by the order as provided in the Default, or the Termination for Convenience of the Government, clause of this contract.

(b) If a stop-work order issued under this clause is canceled either before or after a final decision in the protest, the Contractor shall resume work. The Contracting Officer shall make an equitable adjustment in the delivery schedule or contract price, or both, and the contract shall be modified, in writing, accordingly, if--

(1) The stop-work order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this contract; and

(2) The Contractor asserts its right to an adjustment within 30 days after the end of the period of work stoppage; provided, that if the Contracting Officer decides the facts justify the action, the Contracting Officer may receive and act upon a proposal at any time before final payment under this contract.

(c) If a stop-work order is not canceled and the work covered by the order is terminated for the convenience of the Government, the Contracting Officer shall allow reasonable costs resulting from the stop-work order in arriving at the termination settlement.

(d) If a stop-work order is not canceled and the work covered by the order is terminated for default, the Contracting Officer shall allow, by equitable adjustment or otherwise, reasonable costs resulting from the stop-work order.

(e) The Government's rights to terminate this contract at any time are not affected by action taken under this clause.

(f) If, as the result of the Contractor's intentional or negligent misstatement, misrepresentation, or miscertification, a protest related to this contract is sustained, and the Government pays costs, as provided in FAR 33.102(b)(2) or 33.104(h)(1), the Government may require the Contractor to reimburse the Government the amount of such costs. In addition to any other remedy available, and pursuant to the requirements of Subpart 32.6, the Government may collect this debt by offsetting the amount against any payment due the Contractor under any contract between the Contractor and the Government.

#### **52.236-1 PERFORMANCE OF WORK BY THE CONTRACTOR (APR 1984)**

The Contractor shall perform on the site, and with its own organization, work equivalent to at least **twenty (20)** percent of the total amount of work to be performed under the contract. This percentage may be reduced by a supplemental agreement to this contract if, during performing the work, the Contractor requests a reduction and the Contracting Officer determines that the reduction would be to the advantage of the Government.

#### **52.236-2 DIFFERING SITE CONDITIONS (APR 1984)**

As prescribed in 36.502, insert the following clause in solicitations and contracts when a fixed-price construction contract or a fixed-price dismantling, demolition, or removal of improvements contract is contemplated and the contract amount is expected to exceed the small purchase limitation. The Contracting Officer may insert the clause in solicitations and contracts when a fixed-price construction or a fixed-price contract for dismantling, demolition, or removal of improvements is contemplated and the contract amount is expected to be within the small purchase limitation.

(a) The Contractor shall promptly, and before the conditions are disturbed, give a written notice to the Contracting Officer of

(1) subsurface or latent physical conditions at the site which differ materially from those indicated in this contract, or

(2) unknown physical conditions at the site, of an unusual nature, which differ materially from those ordinarily encountered and generally recognized as inhering in work of the character provided for in the contract.

(b) The Contracting Officer shall investigate the site conditions promptly after receiving the notice. If the conditions do materially so differ and cause an increase or decrease in the Contractor's cost of, or the time required for, performing any part of the work under this contract, whether or not changed as a result of the conditions, an equitable adjustment shall be made under this clause and the contract modified in writing accordingly.

(c) No request by the Contractor for an equitable adjustment to the contract under this clause shall be allowed, unless the Contractor has given the written notice required; provided, that the time prescribed in (a) above for giving written notice may be extended by the Contracting Officer.

(d) No request by the Contractor for an equitable adjustment to the contract for differing site conditions shall be allowed if made after final payment under this contract.

**52.236-3 SITE INVESTIGATION AND CONDITIONS AFFECTING THE WORK (APR 1984)**

(a) The Contractor acknowledges that it has taken steps reasonably necessary to ascertain the nature and location of the work, and that it has investigated and satisfied itself as to the general and local conditions which can affect the work or its cost, including but not limited to

(1) conditions bearing upon transportation, disposal, handling, and storage of materials;

(2) the availability of labor, water, electric power, and roads;

(3) uncertainties of weather, river stages, tides, or similar physical conditions at the site;

(4) the conformation and conditions of the ground; and (5) the character of equipment and facilities needed preliminary to and during work performance. The Contractor also acknowledges that it has satisfied itself as to the character, quality, and quantity of surface and subsurface materials or obstacles to be encountered insofar as this information is reasonably ascertainable from an inspection of the site, including all exploratory work done by the Government, as well as from the drawings and specifications made a part of this contract. Any failure of the Contractor to take the actions described and acknowledged in this paragraph will not relieve the Contractor from responsibility for estimating properly the difficulty and cost of successfully performing the work, or for proceeding to successfully perform the work without additional expense to the Government.

(b) The Government assumes no responsibility for any conclusions or interpretations made by the Contractor based on the information made available by the Government. Nor does the Government assume responsibility for any understanding reached or representation made concerning conditions which can affect the work by any of its officers or agents before the execution of this contract, unless that understanding or representation is expressly stated in this contract.

**52.236-4 PHYSICAL DATA (APR 1984)**

Data and information furnished or referred to below is for the Contractor's information. The Government shall not be responsible for any interpretation of or conclusion drawn from the data or information by the Contractor.

(a) The indications of physical conditions on the drawings and in the specifications are the result of site investigations by surveys and subsurface exploration. The subsurface exploration included soil borings, testing for soil physical characteristics, and testing for chemical contamination. Variations in characteristics of the soil are known to occur between borings. Normal variations in site geology will not be considered as differing materially within the purview of Contract Clause, FAR 52.236-2, Differing Site Conditions.

(b) Weather conditions. Bidders should satisfy themselves before submitting bids as to hazards from weather conditions. Complete weather records and reports may be obtained from the local U.S. Weather Service..

(c) Transportation facilities. Before submitting a bid, bidders should obtain necessary data as to access of highway and railroad facilities. The unavailability of transportation facilities shall not become a basis for claims for damages or time for completion of the work.

(d) River Conditions. Hydrographs of river stages are indicated on the drawings. These hydrographs include historic water levels at the gauging stations.

**52.236-5 MATERIAL AND WORKMANSHIP (APR 1984)**

(a) All equipment, material, and articles incorporated into the work covered by this contract shall be new and of the most suitable grade for the purpose intended, unless otherwise specifically provided in this contract. References in the specifications to equipment, material, articles, or patented processes by trade name, make, or catalog number, shall be regarded as establishing a standard of quality and shall not be construed as limiting competition. The Contractor may, at its option, use any equipment, material, article, or process that, in the judgment of the Contracting Officer, is equal to that named in the specifications, unless otherwise specifically provided in this contract.

(b) The Contractor shall obtain the Contracting Officer's approval of the machinery and mechanical and other equipment to be incorporated into the work. When requesting approval, the Contractor shall furnish to the Contracting Officer the name of the manufacturer, the model number, and other information concerning the performance, capacity, nature, and rating of the machinery and mechanical and other equipment. When required by this contract or by the Contracting Officer, the Contractor shall also obtain the Contracting Officer's approval of the material or articles which the Contractor contemplates incorporating into the work. When requesting approval, the Contractor shall provide full information concerning the material or articles. When directed to do so, the Contractor shall submit samples for approval at the Contractor's expense, with all shipping charges prepaid. Machinery, equipment, material, and articles that do not have the required approval shall be installed or used at the risk of subsequent rejection.

(c) All work under this contract shall be performed in a skillful and workmanlike manner. The Contracting Officer may require, in writing, that the Contractor remove from the work any employee the Contracting Officer deems incompetent, careless, or otherwise objectionable.

**52.236-6 SUPERINTENDENCE BY THE CONTRACTOR (APR 1984)**

At all times during performance of this contract and until the work is completed and accepted, the Contractor shall directly superintend the work or assign and have on the worksite a competent superintendent who is satisfactory to the Contracting Officer and has authority to act for the Contractor.

**52.236-7 PERMITS AND RESPONSIBILITIES (NOV 1991)**

The Contractor shall, without additional expense to the Government, be responsible for obtaining any necessary licenses and permits, and for complying with any Federal, State, and municipal laws, codes, and regulations applicable to the performance of the work. The Contractor shall also be responsible for all damages to persons or property that occur as a result of the Contractor's fault or negligence. The Contractor shall also be responsible for all materials delivered and work performed until completion and acceptance of the entire work, except for any completed unit of work which may have been accepted under the contract.

**52.236-8 OTHER CONTRACTS (APR 1984)**

The Government may undertake or award other contracts for additional work at or near the site of the work under this contract. The Contractor shall fully cooperate with the other contractors and with Government employees and shall carefully adapt scheduling and performing the work under this contract to accommodate the additional work, heeding any direction that may be provided by the Contracting Officer. The Contractor shall not commit or permit any act that will interfere with the performance of work by any other contractor or by Government employees.

**52.236-9 PROTECTION OF EXISTING VEGETATION, STRUCTURES, EQUIPMENT, UTILITIES, AND IMPROVEMENTS (APR 1984)**

(a) The Contractor shall preserve and protect all structures, equipment, and vegetation (such as trees, shrubs, and grass) on or adjacent to the work site, which are not to be removed and which do not unreasonably interfere with the work required under this contract. The Contractor shall only remove trees when specifically authorized to do so, and shall avoid damaging vegetation that will remain in place. If any limbs or branches of trees are broken during contract performance, or by the careless operation of equipment, or by workmen, the Contractor shall trim those limbs or branches with a clean cut and paint the cut with a tree-pruning compound as directed by the Contracting Officer.

(b) The Contractor shall protect from damage all existing improvements and utilities

(1) at or near the work site, and

(2) on adjacent property of a third party, the locations of which are made known to or should be known by the Contractor. The Contractor shall repair any damage to those facilities, including those that are the property of a third party, resulting from failure to comply with the requirements of this contract or failure to exercise reasonable care in performing the work. If the Contractor fails or refuses to repair the damage promptly, the Contracting Officer may have the necessary work performed and charge the cost to the Contractor.

**52.236-10 OPERATIONS AND STORAGE AREAS (APR 1984)**

(a) The Contractor shall confine all operations (including storage of materials) on Government premises to areas authorized or approved by the Contracting Officer. The Contractor shall hold and save the Government, its officers and agents, free and harmless from liability of any nature occasioned by the Contractor's performance.

(b) Temporary buildings (e.g., storage sheds, shops, offices) and utilities may be erected by the Contractor only with the approval of the Contracting Officer and shall be built with labor and materials furnished by the Contractor without expense to the Government. The temporary buildings and utilities shall remain the property of the Contractor and shall be removed by the Contractor at its expense upon completion of the work. With the written consent of the Contracting Officer, the buildings and utilities may be abandoned and need not be removed.

(c) The Contractor shall, under regulations prescribed by the Contracting Officer, use only established roadways, or use temporary roadways constructed by the Contractor when and as authorized by the Contracting Officer. When materials are transported in prosecuting the work, vehicles shall not be loaded beyond the loading capacity recommended by the manufacturer of the vehicle or prescribed by any Federal, State, or local law or regulation.

When it is necessary to cross curbs or sidewalks, the Contractor shall protect them from damage. The Contractor shall repair or pay for the repair of any damaged curbs, sidewalks, or roads.

**52.236-12 CLEANING UP (APR 1984)**

The Contractor shall at all times keep the work area, including storage areas, free from accumulations of waste materials. Before completing the work, the Contractor shall remove from the work and premises any rubbish, tools, scaffolding, equipment, and materials that are not the property of the Government. Upon completing the work, the Contractor shall leave the work area in a clean, neat, and orderly condition satisfactory to the Contracting Officer.

**52.236-13 ACCIDENT PREVENTION (NOV 1991) – ALTERNATE I (NOV 1991)**

- (a) The Contractor shall provide and maintain work environments and procedures which will
  - (1) safeguard the public and Government personnel, property, materials, supplies, and equipment exposed to Contractor operations and activities;
  - (2) avoid interruptions of Government operations and delays in project completion dates; and
  - (3) control costs in the performance of this contract.
- (b) For these purposes on contracts for construction or dismantling, demolition, or removal of improvements, the Contractor shall-
  - (1) Provide appropriate safety barricades, signs, and signal lights;
  - (2) Comply with the standards issued by the Secretary of Labor at 29 CFR Part 1926 and 29 CFR Part 1910; and
  - (3) Ensure that any additional measures the Contracting Officer determines to be reasonably necessary for the purposes are taken.
- (c) If this contract is for construction or dismantling, demolition or removal of improvements with any Department of Defense agency or component, the Contractor shall comply with all pertinent provisions of the latest version of U.S. Army Corps of Engineers Safety and Health Requirements Manual, EM 385-1-1, in effect on the date of the solicitation.
- (d) Whenever the Contracting Officer becomes aware of any noncompliance with these requirements or any condition which poses a serious or imminent danger to the health or safety of the public or Government personnel, the Contracting Officer shall notify the Contractor orally, with written confirmation, and request immediate initiation of corrective action. This notice, when delivered to the Contractor or the Contractor's representative at the work site, shall be deemed sufficient notice of the noncompliance and that corrective action is required. After receiving the notice, the Contractor shall immediately take corrective action. If the Contractor fails or refuses to promptly take corrective action, the Contracting Officer may issue an order stopping all or part of the work until satisfactory corrective action has been taken. The Contractor shall not be entitled to any equitable adjustment of the contract price or extension of the performance schedule on any stop work order issued under this clause.
- (e) The Contractor shall insert this clause, including this paragraph (e), with appropriate changes in the designation of the parties, in subcontracts.

(f) Before commencing the work, the Contractor shall-

(1) Submit a written proposed plan for implementing this clause. The plan shall include an analysis of the significant hazards to life, limb, and property inherent in contract work performance and a plan for controlling these hazards; and

(2) Meet with representatives of the Contracting Officer to discuss and develop a mutual understanding relative to administration of the overall safety program.

**52.236-15 SCHEDULES FOR CONSTRUCTION CONTRACTS (APR 1984)**

(a) The Contractor shall, within five days after the work commences on the contract or another period of time determined by the Contracting Officer, prepare and submit to the Contracting Officer for approval three copies of a practicable schedule showing the order in which the Contractor proposes to perform the work, and the dates on which the Contractor contemplates starting and completing the several salient features of the work (including acquiring materials, plant, and equipment). The schedule shall be in the form of a progress chart of suitable scale to indicate appropriately the percentage of work scheduled for completion by any given date during the period. If the Contractor fails to submit a schedule within the time prescribed, the Contracting Officer may withhold approval of progress payments until the Contractor submits the required schedule.

(b) The Contractor shall enter the actual progress on the chart as directed by the Contracting Officer, and upon doing so shall immediately deliver three copies of the annotated schedule to the Contracting Officer. If, in the opinion of the Contracting Officer, the Contractor falls behind the approved schedule, the Contractor shall take steps necessary to improve its progress, including those that may be required by the Contracting Officer, without additional cost to the Government. In this circumstance, the Contracting Officer may require the Contractor to increase the number of shifts, overtime operations, days of work, and/or the amount of construction plant, and to submit for approval any supplementary schedule or schedules in chart form as the Contracting Officer deems necessary to demonstrate how the approved rate of progress will be regained.

(c) Failure of the Contractor to comply with the requirements of the Contracting Officer under this clause shall be grounds for a determination by the Contracting Officer that the Contractor is not prosecuting the work with sufficient diligence to ensure completion within the time specified in the contract. Upon making this determination, the Contracting Officer may terminate the Contractor's right to proceed with the work, or any separable part of it, in accordance with the default terms of this contract.

**52.236-16 QUANTITY SURVEYS (APR 1984) - ALTERNATE I (APR 1984)**

(a) Quantity surveys shall be conducted, and the data derived from these surveys shall be used in computing the quantities of work performed and the actual construction completed and in place.

(b) The Contractor shall conduct the original and final surveys and surveys for any periods for which progress payments are requested. All these surveys shall be conducted under the direction of a representative of the Contracting Officer, unless the Contracting Officer waives this requirement in a specific instance. The Government shall make such computations as are necessary to determine the quantities of work performed or finally in place. The Contractor shall make the computations based on the surveys for any periods for which progress payments are requested.

(c) Promptly upon completing a survey, the Contractor shall furnish the originals of all field notes and all other records relating to the survey or to the layout of the work to the Contracting Officer, who shall use them as necessary to determine the amount of progress payments. The

Contractor shall retain copies of all such material furnished to the Contracting Officer.

#### **52.236-17 LAYOUT OF WORK (APR 1984)**

The Contractor shall lay out its work from Government established base lines and bench marks indicated on the drawings, and shall be responsible for all measurements in connection with the layout. The Contractor shall furnish, at its own expense, all stakes, templates, platforms, equipment, tools, materials, and labor required to lay out any part of the work. The Contractor shall be responsible for executing the work to the lines and grades that may be established or indicated by the Contracting Officer. The Contractor shall also be responsible for maintaining and preserving all stakes and other marks established by the Contracting Officer until authorized to remove them. If such marks are destroyed by the Contractor or through its negligence before their removal is authorized, the Contracting Officer may replace them and deduct the expense of the replacement from any amounts due or to become due to the Contractor.

#### **52.236-21 SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION (FEB 1997) - ALTERNATE II (APR 1984).**

(a) The Contractor shall keep on the work site a copy of the drawings and specifications and shall at all times give the Contracting Officer access thereto. Anything mentioned in the specifications and not shown on the drawings, or shown on the drawings and not mentioned in the specifications, shall be of like effect as if shown or mentioned in both. In case of difference between drawings and specifications, the specifications shall govern. In case of discrepancy in the figures, in the drawings, or in the specifications, the matter shall be promptly submitted to the Contracting Officer, who shall promptly make a determination in writing. Any adjustment by the Contractor without such a determination shall be at its own risk and expense. The Contracting Officer shall furnish from time to time such detailed drawings and other information as considered necessary, unless otherwise provided.

(b) Wherever in the specifications or upon the drawings the words "directed", "required", "ordered", "designated", "prescribed", or words of like import are used, it shall be understood that the "direction", "requirement", "order", "designation", or "prescription", of the Contracting Officer is intended and similarly the words "approved", "acceptable", "satisfactory", or words of like import shall mean "approved by," or "acceptable to", or "satisfactory to" the Contracting Officer, unless otherwise expressly stated.

(c) Where "as shown," "as indicated", "as detailed", or words of similar import are used, it shall be understood that the reference is made to the drawings accompanying this contract unless stated otherwise. The word "provided" as used herein shall be understood to mean "provide complete in place," that is "furnished and installed".

(d) Shop drawings means drawings, submitted to the Government by the Contractor, subcontractor, or any lower tier subcontractor pursuant to a construction contract, showing in detail (1) the proposed fabrication and assembly of structural elements, and (2) the installation (i.e., fit, and attachment details) of materials or equipment. It includes drawings, diagrams, layouts, schematics, descriptive literature, illustrations, schedules, performance and test data, and similar materials furnished by the contractor to explain in detail specific portions of the work required by the contract. The Government may duplicate, use, and disclose in any manner and for any purpose shop drawings



delivered under this contract.

(e) If this contract requires shop drawings, the Contractor shall coordinate all such drawings, and review them for accuracy, completeness, and compliance with contract requirements and shall indicate its approval thereon as evidence of such coordination and review. Shop drawings submitted to the Contracting Officer without evidence of the Contractor's approval may be returned for resubmission. The Contracting Officer will indicate an approval or disapproval of the shop drawings and if not approved as submitted shall indicate the Government's reasons therefor. Any work done before such approval shall be at the Contractor's risk. Approval by the Contracting Officer shall not relieve the Contractor from responsibility for any errors or omissions in such drawings, nor from responsibility for complying with the requirements of this contract, except with respect to variations described and approved in accordance with (f) below.

(f) If shop drawings show variations from the contract requirements, the Contractor shall describe such variations in writing, separate from the drawings, at the time of submission. If the Contracting Officer approves any such variation, the Contracting Officer shall issue an appropriate contract modification, except that, if the variation is minor or does not involve a change in price or in time of performance, a modification need not be issued.

(g) The Contractor shall submit to the Contracting Officer for approval four copies (unless otherwise indicated) of all shop drawings as called for under the various headings of these specifications. Three sets (unless otherwise indicated) of all shop drawings, will be retained by the Contracting Officer and one set will be returned to the Contractor. Upon completing the work under this contract, the Contractor shall furnish 5 sets of prints of all shop drawings as finally approved. These drawings shall show changes and revisions made up to the time the equipment is completed and accepted.

#### **52.236-26    *PRECONSTRUCTION CONFERENCE (FEB 1995)***

If the Contracting Officer decides to conduct a preconstruction conference, the successful offeror will be notified and will be required to attend. The Contracting Officer's notification will include specific details regarding the date, time, and location of the conference, any need for attendance by subcontractors, and information regarding the items to be discussed.

#### **52.242-13    *BANKRUPTCY (JUL 1995)***

In the event the Contractor enters into proceedings relating to bankruptcy, whether voluntary or involuntary, the Contractor agrees to furnish, by certified mail or electronic commerce method authorized by the contract, written notification of the bankruptcy to the Contracting Officer responsible for administering the contract. This notification shall be furnished within five days of the initiation of the proceedings relating to bankruptcy filing. This notification shall include the date on which the bankruptcy petition was filed, the identity of the court in which the bankruptcy petition was filed, and a listing of Government contract numbers and contracting offices for all Government contracts against which final payment has not been made. This obligation remains in effect until final payment under this contract.

(End of clause)

**52.242-14 SUSPENSION OF WORK (APR 1984)**

(a) The Contracting Officer may order the Contractor, in writing, to suspend, delay, or interrupt all or any part of the work of this contract for the period of time that the Contracting Officer determines appropriate for the convenience of the Government.

(b) If the performance of all or any part of the work is, for an unreasonable period of time, suspended, delayed, or interrupted (1) by an act of the Contracting Officer in the administration of this contract, or (2) by the Contracting Officer's failure to act within the time specified in this contract (or within a reasonable time if not specified), an adjustment shall be made for any increase in the cost of performance of this contract (excluding profit) necessarily caused by the unreasonable suspension, delay, or interruption, and the contract modified in writing accordingly. However, no adjustment shall be made under this clause for any suspension, delay, or interruption to the extent that performance would have been so suspended, delayed, or interrupted by any other cause, including the fault or negligence of the Contractor, or for which an equitable adjustment is provided for or excluded under any other term or condition of this contract. (c) A claim under this clause shall not be allowed (1) for any costs incurred more than 20 days before the Contractor shall have notified the Contracting Officer in writing of the act or failure to act involved (but this requirement shall not apply as to a claim resulting from a suspension order), and (2) unless the claim, in an amount stated, is asserted in writing as soon as practicable after the termination of the suspension, delay, or interruption, but not later than the date of final payment under the contract.

**52.243-4 CHANGES (AUG 1987)**

(a) The Contracting Officer may, at any time, without notice to the sureties, if any, by written order designated or indicated to be a change order, make changes in the work within the general scope of the contract, including changes--

- (1) In the specifications (including drawings and designs);
- (2) In the method or manner of performance of the work;
- (3) In the Government-furnished facilities, equipment, materials, services, or site; or
- (4) Directing acceleration in the performance of the work.

(b) Any other written or oral order (which, as used in this paragraph (b), includes direction, instruction, interpretation, or determination) from the Contracting Officer that causes a change shall be treated as a change order under this clause; provided, that the Contractor gives the Contracting Officer written notice stating

- (1) the date, circumstances, and source of the order and
- (2) that the Contractor regards the order as a change order.

(c) Except as provided in this clause, no order, statement, or conduct of the Contracting Officer shall be treated as a change under this clause or entitle the Contractor to an equitable adjustment.

(d) If any change under this clause causes an increase or decrease in the Contractor's cost of, or the time required for, the performance of any part of the work under this contract, whether or not changed by any such order, the Contracting Officer shall make an equitable adjustment and modify the contract in writing. However, except for an adjustment based on defective specifications, no adjustment for any change under paragraph (b) of this clause shall

be made for any costs incurred more than 20 days before the Contractor gives written notice as required. In the case of defective specifications for which the Government is responsible, the equitable adjustment shall include any increased cost reasonably incurred by the Contractor in attempting to comply with the defective specifications.

(e) The Contractor must assert its right to an adjustment under this clause within 30 days after

(1) receipt of a written change order under paragraph (a) of this clause or (2) the furnishing of a written notice under paragraph (b) of this clause, by submitting to the Contracting Officer a written statement describing the general nature and amount of the proposal, unless this period is extended by the Government. The statement of proposal for adjustment may be included in the notice under paragraph (b) above.

(f) No proposal by the Contractor for an equitable adjustment shall be allowed if asserted after final payment under this contract.

**52.244-6 SUBCONTRACTS FOR COMMERCIAL ITEMS AND COMMERCIAL COMPONENTS (OCT 1998)**

(a) Definitions.

"Commercial item", as used in this clause, has the meaning contained in the clause at 52.202-1, Definitions.

"Subcontract", as used in this clause, includes a transfer of commercial items between divisions, subsidiaries, or affiliates of the Contractor or subcontractor at any tier.

(b) To the maximum extent practicable, the Contractor shall incorporate, and require its subcontractors at all tiers to incorporate, commercial items or nondevelopmental items as components of items to be supplied under this contract.

(c) Notwithstanding any other clause of this contract, the Contractor is not required to include any FAR provision or clause, other than those listed below to the extent they are applicable and as may be required to establish the reasonableness of prices under Part 15, in a subcontract at any tier for commercial items or commercial components:

(1) 52.222-26, Equal Opportunity (E.O. 11246);

(2) 52.222-35, Affirmative Action for Disabled Veterans and Veterans of the Vietnam Era (38 U.S.C. 4212(a));

(3) 52.222-36, Affirmative Action for Workers with Disabilities (29 U.S.C. 793); and

(4) 52.247-64, Preference for Privately-Owned U.S.-Flagged Commercial Vessels (46 U.S.C. 1241)(flow down not required for subcontracts awarded beginning May 1, 1996).

(d) The Contractor shall include the terms of this clause, including this paragraph (d), in subcontracts awarded under this contract.

**52.246-12 INSPECTION OF CONSTRUCTION (AUG 1996)**

(a) Definition. "Work" includes, but is not limited to, materials, workmanship, and manufacture and fabrication of components.

(b) The Contractor shall maintain an adequate inspection system and perform such inspections as will ensure that the

work performed under the contract conforms to contract requirements. The Contractor shall maintain complete inspection records and make them available to the Government. All work shall be conducted under the general direction of the Contracting Officer and is subject to Government inspection and test at all places and at all reasonable times before acceptance to ensure strict compliance with the terms of the contract.

(c) Government inspections and tests are for the sole benefit of the Government and do not--

(1) Relieve the Contractor of responsibility for providing adequate quality control measures;

(2) Relieve the Contractor of responsibility for damage to or loss of the material before acceptance;

(3) Constitute or imply acceptance; or

(4) Affect the continuing rights of the Government after acceptance of the completed work under paragraph (i) of this section.

(d) The presence or absence of a Government inspector does not relieve the Contractor from any contract requirement, nor is the inspector authorized to change any term or condition of the specification without the Contracting Officer's written authorization.

(e) The Contractor shall promptly furnish, at no increase in contract price, all facilities, labor, and material reasonably needed for performing such safe and convenient inspections and tests as may be required by the Contracting Officer. The Government may charge to the Contractor any additional cost of inspection or test when work is not ready at the time specified by the Contractor for inspection or test, or when prior rejection makes reinspection or retest necessary. The Government shall perform all inspections and tests in a manner that will not unnecessarily delay the work. Special, full size, and performance tests shall be performed as described in the contract.

(f) The Contractor shall, without charge, replace or correct work found by the Government not to conform to contract requirements, unless in the public interest the Government consents to accept the work with an appropriate adjustment in contract price. The Contractor shall promptly segregate and remove rejected material from the premises.

(g) If the Contractor does not promptly replace or correct rejected work, the Government may (1) by contract or otherwise, replace or correct the work and charge the cost to the Contractor or (2) terminate for default the Contractor's right to proceed.

(h) If, before acceptance of the entire work, the Government decides to examine already completed work by removing it or tearing it out, the Contractor, on request, shall promptly furnish all necessary facilities, labor, and material. If the work is found to be defective or nonconforming in any material respect due to the fault of the Contractor or its subcontractors, the Contractor shall defray the expenses of the examination and of satisfactory reconstruction. However, if the work is found to meet contract requirements, the Contracting Officer shall make an equitable adjustment for the additional services involved in the examination and reconstruction, including, if completion of the work was thereby delayed, an extension of time.

(i) Unless otherwise specified in the contract, the Government shall accept, as promptly as practicable after completion and inspection, all work required by the contract or that portion of the work the Contracting Officer determines can be accepted separately. Acceptance shall be final and conclusive except for latent defects, fraud, gross mistakes amounting to fraud, or the Government's rights under any warranty or guarantee.

(a) In addition to any other warranties in this contract, the Contractor warrants, except as provided in paragraph (i) of this clause, that work performed under this contract conforms to the contract requirements and is free of any defect in equipment, material, or design furnished, or workmanship performed by the Contractor or any subcontractor or supplier at any tier.

(b) This warranty shall continue for a period of 1 year from the date of final acceptance of the work. If the Government takes possession of any part of the work before final acceptance, this warranty shall continue for a period of 1 year from the date the Government takes possession.

(c) The Contractor shall remedy at the Contractor's expense any failure to conform, or any defect. In addition, the Contractor shall remedy at the Contractor's expense any damage to Government-owned or controlled real or personal property, when that damage is the result of--

(1) The Contractor's failure to conform to contract requirements; or

(2) Any defect of equipment, material, workmanship, or design furnished.

(d) The Contractor shall restore any work damaged in fulfilling the terms and conditions of this clause. The Contractor's warranty with respect to work repaired or replaced will run for 1 year from the date of repair or replacement.

(e) The Contracting Officer shall notify the Contractor, in writing, within a reasonable time after the discovery of any failure, defect, or damage.

(f) If the Contractor fails to remedy any failure, defect, or damage within a reasonable time after receipt of notice, the Government shall have the right to replace, repair, or otherwise remedy the failure, defect, or damage at the Contractor's expense.

(g) With respect to all warranties, express or implied, from subcontractors, manufacturers, or suppliers for work performed and materials furnished under this contract, the Contractor shall--

(1) Obtain all warranties that would be given in normal commercial practice;

(2) Require all warranties to be executed, in writing, for the benefit of the Government, if directed by the Contracting Officer; and

(3) Enforce all warranties for the benefit of the Government, if directed by the Contracting Officer.

(h) In the event the Contractor's warranty under paragraph (b) of this clause has expired, the Government may bring suit at its expense to enforce a subcontractor's, manufacturer's, or supplier's warranty.

(i) Unless a defect is caused by the negligence of the Contractor or subcontractor or supplier at any tier, the Contractor shall not be liable for the repair of any defects of material or design furnished by the Government nor for the repair of any damage that results from any defect in Government-furnished material or design.

(j) This warranty shall not limit the Government's rights under the Inspection and Acceptance clause of this contract with respect to latent defects, gross mistakes, or fraud.

(End of clause)

(a) The term "f.o.b. destination," as used in this clause, means--

(1) Free of expense to the Government, on board the carrier's conveyance, at a specified delivery point where the consignee's facility (plant, warehouse, store, lot, or other location to which shipment can be made) is located; and

(2) Supplies shall be delivered to the destination consignee's wharf (if destination is a port city and supplies are for export), warehouse unloading platform, or receiving dock, at the expense of the Contractor. The Government shall not be liable for any delivery, storage, demurrage, accessorial, or other charges involved before the actual delivery (or "constructive placement" as defined in carrier tariffs) of the supplies to the destination, unless such charges are caused by an act or order of the Government acting in its contractual capacity. If rail carrier is used, supplies shall be delivered to the specified unloading platform of the consignee. If motor carrier (including "piggyback") is used, supplies shall be delivered to truck tailgate at the unloading platform of the consignee, except when the supplies delivered meet the requirements of Item 568 of the National Motor Freight Classification for "heavy or bulky freight." When supplies meeting the requirements of the referenced Item 568 are delivered, unloading (including movement to the tailgate) shall be performed by the consignee, with assistance from the truck driver, if requested. If the contractor uses rail carrier or freight forwarded for less than carload shipments, the contractor shall ensure that the carrier will furnish tailgate delivery, when required, if transfer to truck is required to complete delivery to consignee.

(b) The Contractor shall--

(1)(i) Pack and mark the shipment to comply with contract specifications; or

(ii) In the absence of specifications, prepare the shipment in conformance with carrier requirements;

(2) Prepare and distribute commercial bills of lading;

(3) Deliver the shipment in good order and condition to the point of delivery specified in the contract;

(4) Be responsible for any loss of and/or damage to the goods occurring before receipt of the shipment by the consignee at the delivery point specified in the contract;

(5) Furnish a delivery schedule and designate the mode of delivering carrier; and

(6) Pay and bear all charges to the specified point of delivery.

### **52.248-3 VALUE ENGINEERING--CONSTRUCTION (FEB 2000)**

(a) General. The Contractor is encouraged to develop, prepare, and submit value engineering change proposals (VECP's) voluntarily. The Contractor shall share in any instant contract savings realized from accepted VECP's, in accordance with paragraph (f) below.

(b) Definitions. "Collateral costs," as used in this clause, means agency costs of operation, maintenance, logistic support, or Government-furnished property.

"Collateral savings," as used in this clause, means those measurable net reductions resulting from a VECP in the agency's overall projected collateral costs, exclusive of acquisition savings, whether or not the acquisition cost changes.

"Contractor's development and implementation costs," as used in this clause, means those costs the Contractor incurs on a VECP specifically in developing, testing, preparing, and submitting the VECP, as well as those costs the Contractor incurs to make the contractual changes required by Government acceptance of a VECP.

"Government costs," as used in this clause, means those agency costs that result directly from developing and implementing the VECP, such as any net increases in the cost of testing, operations, maintenance, and logistic support. The term does not include the normal administrative costs of processing the VECP.

"Instant contract savings," as used in this clause, means the estimated reduction in Contractor cost of performance resulting from acceptance of the VECP, minus allowable Contractor's development and implementation costs, including subcontractors' development and implementation costs (see paragraph (h) below).

"Value engineering change proposal (VECP)" means a proposal that--

(1) Requires a change to this, the instant contract, to implement; and

(2) Results in reducing the contract price or estimated cost without impairing essential functions or characteristics; provided, that it does not involve a change--

(i) In deliverable end item quantities only; or

(ii) To the contract type only.

(c) VECP preparation. As a minimum, the Contractor shall include in each VECP the information described in subparagraphs (1) through (7) below. If the proposed change is affected by contractually required configuration management or similar procedures, the instructions in those procedures relating to format, identification, and priority assignment shall govern VECP preparation. The VECP shall include the following:

(1) A description of the difference between the existing contract requirement and that proposed, the comparative advantages and disadvantages of each, a justification when an item's function or characteristics are being altered, and the effect of the change on the end item's performance.

(2) A list and analysis of the contract requirements that must be changed if the VECP is accepted, including any suggested specification revisions.

(3) A separate, detailed cost estimate for

(i) the affected portions of the existing contract requirement and

(ii) the VECP. The cost reduction associated with the VECP shall take into account the Contractor's allowable development and implementation costs, including any amount attributable to subcontracts under paragraph (h) below.

(4) A description and estimate of costs the Government may incur in implementing the VECP, such as test and evaluation and operating and support costs.

(5) A prediction of any effects the proposed change would have on collateral costs to the agency.

(6) A statement of the time by which a contract modification accepting the VECP must be issued in order to achieve the maximum cost reduction, noting any effect on the contract completion time or delivery schedule.

(7) Identification of any previous submissions of the VECP, including the dates submitted, the agencies and contract numbers involved, and previous Government actions, if known.

(d) Submission. The Contractor shall submit VECP's to the Resident Engineer at the worksite, with a copy to the Contracting Officer.

(e) Government action.

(1) The Contracting Officer will notify the Contractor of the status of the VECP within 45 calendar days after the contracting office receives it. If additional time is required, the Contracting Officer will notify the Contractor within the 45-day period and provide the reason for the delay and the expected date of the decision. The Government will process VECP's expeditiously; however, it shall not be liable for any delay in acting upon a VECP.

If the VECP is not accepted, the Contracting Officer will notify the Contractor in writing, explaining the reasons for rejection. The Contractor may withdraw any VECP, in whole or in part, at any time before it is accepted by the Government. The Contracting Officer may require that the Contractor provide written notification before undertaking significant expenditures for VECP effort.

Any VECP may be accepted, in whole or in part, by the Contracting Officer's award of a modification to this contract citing this clause. The Contracting Officer may accept the VECP, even though an agreement on price reduction has not been reached, by issuing the Contractor a notice to proceed with the change. Until a notice to proceed is issued or a contract modification applies a VECP to this contract, the Contractor shall perform in accordance with the existing contract. The decision to accept or reject all or part of any VECP is a unilateral decision made solely at the discretion of the Contracting Officer.

(f) Sharing.

(1) Rates. The Government's share of savings is determined by subtracting Government costs from instant contract savings and multiplying the result by

(i) 45 percent for fixed-price contracts or

(ii) 75 percent for cost-reimbursement contracts.

(2) Payment. Payment of any share due the Contractor for use of a VECP on this contract shall be authorized by a modification to this contract to--

(i) Accept the VECP;

(ii) Reduce the contract price or estimated cost by the amount of instant contract savings; and

(iii) Provide the Contractor's share of savings by adding the amount calculated to the contract price or fee.

(g) Collateral savings. If a VECP is accepted, the Contracting Officer will increase the instant contract amount by 20 percent of any projected collateral savings determined to be realized in a typical year of use after subtracting any Government costs not previously offset. However, the Contractor's share of collateral savings will not exceed the contract's firm-fixed-price or estimated cost, at the time the VECP is accepted, or \$100,000, whichever is greater. The Contracting Officer is the sole determiner of the amount of collateral savings.

(h) Subcontracts. The Contractor shall include an appropriate value engineering clause in any subcontract of \$50,000 or more and may include one in subcontracts of lesser value. In computing any adjustment in this contract's price under paragraph (f) above, the Contractor's allowable development and implementation costs shall include any subcontractor's allowable development and implementation costs clearly resulting from a VECP accepted by the Government under this contract, but shall exclude any value engineering incentive payments to a subcontractor. The Contractor may choose any arrangement for subcontractor value engineering incentive payments; provided, that these payments shall not reduce the Government's share of the savings resulting from the VECP.



(i) Data. The Contractor may restrict the Government's right to use any part of a VECP or the supporting data by marking the following legend on the affected parts:

"These data, furnished under the Value Engineering-- Construction clause of contract . . . . . , shall not be disclosed outside the Government or duplicated, used, or disclosed, in whole or in part, for any purpose other than to evaluate a value engineering change proposal submitted under the clause. This restriction does not limit the Government's right to use information contained in these data if it has been obtained or is otherwise available from the Contractor or from another source without limitations." If a VECP is accepted, the Contractor hereby grants the Government unlimited rights in the VECP and supporting data, except that, with respect to data qualifying and submitted as limited rights technical data, the Government shall have the rights specified in the contract modification implementing the VECP and shall appropriately mark the data. (The terms "unlimited rights" and "limited rights" are defined in Part 27 of the Federal Acquisition Regulation.)

(End of clause)

**52.249-2 TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (FIXED-PRICE) (SEP 1996) -  
ALTERNATE I (SEP 1996)**

(a) The Government may terminate performance of work under this contract in whole or, from time to time, in part if the Contracting Officer determines that a termination is in the Government's interest. The Contracting Officer shall terminate by delivering to the Contractor a Notice of Termination specifying the extent of termination and the effective date.

(b) After receipt of a Notice of Termination, and except as directed by the Contracting Officer, the Contractor shall immediately proceed with the following obligations, regardless of any delay in determining or adjusting any amounts due under this clause:

(1) Stop work as specified in the notice.

(2) Place no further subcontracts or orders (referred to as subcontracts in this clause) for materials, services, or facilities, except as necessary to complete the continued portion of the contract.

(3) Terminate all subcontracts to the extent they relate to the work terminated.

(4) Assign to the Government, as directed by the Contracting Officer, all right, title, and interest of the Contractor under the subcontracts terminated, in which case the Government shall have the right to settle or to pay any termination settlement proposal arising out of those terminations.

(5) With approval or ratification to the extent required by the Contracting Officer, settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts; the approval or ratification will be final for purposes of this clause.

(6) As directed by the Contracting Officer, transfer title and deliver to the Government (i) the fabricated or unfabricated parts, work in process, completed work, supplies, and other material produced or acquired for the work terminated, and (ii) the completed or partially completed plans, drawings, information, and other property that, if the contract had been completed, would be required to be furnished to the Government.

(7) Complete performance of the work not terminated.

(8) Take any action that may be necessary, or that the Contracting Officer may direct, for the protection and preservation of the property related to this contract that is in the possession of the Contractor and in which the Government has or may acquire an interest.

(9) Use its best efforts to sell, as directed or authorized by the Contracting Officer, any property of the types referred to in subparagraph (b)(6) of this clause; provided, however, that the Contractor (i) is not required to extend credit to any purchaser and (ii) may acquire the property under the conditions prescribed by, and at prices approved by, the Contracting Officer. The proceeds of any transfer or disposition will be applied to reduce any payments to be made by the Government under this contract, credited to the price or cost of the work, or paid in any other manner directed by the Contracting Officer.

(c) The Contractor shall submit complete termination inventory schedules no later than 120 days from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within this 120-day period.

(d) After expiration of the plant clearance period as defined in Subpart 45.6 of the Federal Acquisition Regulation, the Contractor may submit to the Contracting Officer a list, certified as to quantity and quality, of termination inventory not previously disposed of, excluding items authorized for disposition by the Contracting Officer. The Contractor may request the Government to remove those items or enter into an agreement for their storage. Within 15 days, the Government will accept title to those items and remove them or enter into a storage agreement. The Contracting Officer may verify the list upon removal of the items, or if stored, within 45 days from submission of the list, and shall correct the list, as necessary, before final settlement.

(e) After termination, the Contractor shall submit a final termination settlement proposal to the Contracting Officer in the form and with the certification prescribed by the Contracting Officer. The Contractor shall submit the proposal promptly, but no later than 1 year from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within this 1-year period. However, if the Contracting Officer determines that the facts justify it, a termination settlement proposal may be received and acted on after 1 year or any extension. If the Contractor fails to submit the proposal within the time allowed, the Contracting Officer may determine, on the basis of information available, the amount, if any, due the Contractor because of the termination and shall pay the amount determined.

(f) Subject to paragraph (e) of this clause, the Contractor and the Contracting Officer may agree upon the whole or any part of the amount to be paid or remaining to be paid because of the termination. The amount may include a reasonable allowance for profit on work done. However, the agreed amount, whether under this paragraph (g) or paragraph (g) of this clause, exclusive of costs shown in subparagraph (g)(3) of this clause, may not exceed the total contract price as reduced by (1) the amount of payments previously made and (2) the contract price of work not terminated. The contract shall be modified, and the Contractor paid the agreed amount. Paragraph (g) of this clause shall not limit, restrict, or affect the amount that may be agreed upon to be paid under this paragraph.

(g) If the Contractor and Contracting Officer fail to agree on the whole amount to be paid the Contractor because of the termination of work, the Contracting Officer shall pay the Contractor the amounts determined as follows, but without duplication of any amounts agreed upon under paragraph (f) of this clause:

(1) For contract work performed before the effective date of termination, the total (without duplication of any items) of--

(i) The cost of this work;

(ii) The cost of settling and paying termination settlement proposals under terminated subcontracts that are properly chargeable to the terminated portion of the contract if not included in subdivision (g)(1)(i) of this clause; and

(iii) A sum, as profit on subdivision (g)(1)(i) of this clause, determined by the Contracting Officer under 49.202 of the Federal Acquisition Regulation, in effect on the date of this contract, to be fair and reasonable; however, if it appears that the Contractor would have sustained a loss on the entire contract had it been completed, the Contracting

Officer shall allow no profit under this subdivision (iii) and shall reduce the settlement to reflect the indicated rate of loss.

(2) The reasonable costs of settlement of the work terminated, including--

(i) Accounting, legal, clerical, and other expenses reasonably necessary for the preparation of termination settlement proposals and supporting data;

(ii) The termination and settlement of subcontracts (excluding the amounts of such settlements); and

(iii) Storage, transportation, and other costs incurred, reasonably necessary for the preservation, protection, or disposition of the termination inventory.

(h) Except for normal spoilage, and except to the extent that the Government expressly assumed the risk of loss, the Contracting Officer shall exclude from the amounts payable to the Contractor under paragraph (g) of this clause, the fair value, as determined by the Contracting Officer, of property that is destroyed, lost, stolen, or damaged so as to become undeliverable to the Government or to a buyer.

(i) The cost principles and procedures of Part 31 of the Federal Acquisition Regulation, in effect on the date of this contract, shall govern all costs claimed, agreed to, or determined under this clause.

(j) The Contractor shall have the right of appeal, under the Disputes clause, from any determination made by the Contracting Officer under paragraph (e), (g), or (l) of this clause, except that if the Contractor failed to submit the termination settlement proposal or request for equitable adjustment within the time provided in paragraph (e) or (l), respectively, and failed to request a time extension, there is no right of appeal.

(k) In arriving at the amount due the Contractor under this clause, there shall be deducted--

(1) All unliquidated advance or other payments to the Contractor under the terminated portion of this contract;

(2) Any claim which the Government has against the Contractor under this contract; and

(3) The agreed price for, or the proceeds of sale of, materials, supplies, or other things acquired by the Contractor or sold under the provisions of this clause and not recovered by or credited to the Government.

(l) If the termination is partial, the Contractor may file a proposal with the Contracting Officer for an equitable adjustment of the price(s) of the continued portion of the contract. The Contracting Officer shall make any equitable adjustment agreed upon. Any proposal by the Contractor for an equitable adjustment under this clause shall be requested within 90 days from the effective date of termination unless extended in writing by the Contracting Officer.

(m)(1) The Government may, under the terms and conditions it prescribes, make partial payments and payments against costs incurred by the Contractor for the terminated portion of the contract, if the Contracting Officer believes the total of these payments will not exceed the amount to which the Contractor will be entitled.

(2) If the total payments exceed the amount finally determined to be due, the Contractor shall repay the excess to the Government upon demand, together with interest computed at the rate established by the Secretary of the Treasury under 50 U.S.C. App. 1215(b)(2). Interest shall be computed for the period from the date the excess payment is received by the Contractor to the date the excess is repaid. Interest shall not be charged on any excess payment due to a reduction in the Contractor's termination settlement proposal because of retention or other disposition of termination inventory until 10 days after the date of the retention or disposition, or a later date determined by the Contracting Officer because of the circumstances.

(n) Unless otherwise provided in this contract or by statute, the Contractor shall maintain all records and documents relating to the terminated portion of this contract for 3 years after final settlement. This includes all books and other

evidence bearing on the Contractor's costs and expenses under this contract. The Contractor shall make these records and documents available to the Government, at the Contractor's office, at all reasonable times, without any direct charge. If approved by the Contracting Officer, photographs, microphotographs, or other authentic reproductions may be maintained instead of original records and documents.

**52.249-10 DEFAULT (FIXED-PRICE CONSTRUCTION) (APR 1984)**

(a) If the Contractor refuses or fails to prosecute the work or any separable part, with the diligence that will insure its completion within the time specified in this contract including any extension, or fails to complete the work within this time, the Government may, by written notice to the Contractor, terminate the right to proceed with the work (or the separable part of the work) that has been delayed. In this event, the Government may take over the work and complete it by contract or otherwise, and may take possession of and use any materials, appliances, and plant on the work site necessary for completing the work. The Contractor and its sureties shall be liable for any damage to the Government resulting from the Contractor's refusal or failure to complete the work within the specified time, whether or not the Contractor's right to proceed with the work is terminated. This liability includes any increased costs incurred by the Government in completing the work.

(b) The Contractor's right to proceed shall not be terminated nor the Contractor charged with damages under this clause, if--

(1) The delay in completing the work arises from unforeseeable causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include

(i) acts of God or of the public enemy,

(ii) acts of the Government in either its sovereign or contractual capacity,

(iii) acts of another Contractor in the performance of a contract with the Government,

(iv) fires,

(v) floods,

(vi) epidemics,

(vii) quarantine restrictions,

(viii) strikes,

(ix) freight embargoes,

(x) unusually severe weather, or delays of subcontractors or suppliers at any tier arising from unforeseeable causes beyond the control and without the fault or negligence of both the Contractor and the subcontractors or suppliers; and

(2) The Contractor, within 10 days from the beginning of any delay (unless extended by the Contracting Officer), notifies the Contracting Officer in writing of the causes of delay. The Contracting Officer shall ascertain the facts and the extent of delay. If, in the judgment of the Contracting Officer, the findings of fact warrant such action, the time for completing the work shall be extended. The findings of the Contracting Officer shall be final and conclusive on the parties, but subject to appeal under the Disputes clause.

(c) If, after termination of the Contractor's right to proceed, it is determined that the Contractor was not in default, or that the delay was excusable, the rights and obligations of the parties will be the same as if the termination had been issued for the convenience of the Government.

The rights and remedies of the Government in this clause are in addition to any other rights and remedies provided by law or under this contract.

#### **52.252-2 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)**

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):

<http://www.arnet.gov/far>

#### **52.252-6 AUTHORIZED DEVIATIONS IN CLAUSES (APR 1984)**

(a) The use in this solicitation or contract of any Federal Acquisition Regulation (48 CFR Chapter 1) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the clause.

(b) The use in this solicitation or contract of any **FAR** (48 CFR **1**) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.

#### **52.253-1 COMPUTER GENERATED FORMS (JAN 1991)**

(a) Any data required to be submitted on a Standard or Optional Form prescribed by the Federal Acquisition Regulation (FAR) may be submitted on a computer generated version of the form, provided there is no change to the name, content, or sequence of the data elements on the form, and provided the form carries the Standard or Optional Form number and edition date.

(b) Unless prohibited by agency regulations, any data required to be submitted on an agency unique form prescribed by an agency supplement to the FAR may be submitted on a computer generated version of the form provided there is no change to the name, content, or sequence of the data elements on the form and provided the form carries the agency form number and edition date.

(c) If the Contractor submits a computer generated version of a form that is different than the required form, then the rights and obligations of the parties will be determined based on the content of the required form.

#### **252.201-7000 CONTRACTING OFFICER'S REPRESENTATIVE (DEC 1991)**

(a) "Definition. Contracting officer's representative" means an individual designated in accordance with subsection 201.602-2 of the Defense Federal Acquisition Regulation Supplement and authorized in writing by the contracting officer to perform specific technical or administrative functions.

(b) If the Contracting Officer designates a contracting officer's representative (COR), the Contractor will receive a copy of the written designation. It will specify the extent of the COR's authority to act on behalf of the contracting officer. The COR is not authorized to make any commitments or changes that will affect price, quality, quantity, delivery, or any other term or condition of the contract.

(End of clause)

**252.203-7001 PROHIBITION ON PERSONS CONVICTED OF FRAUD OR OTHER DEFENSE-  
CONTRACT-RELATED FELONIES (MAR 1999)**

(a) Definitions. As used in this clause—

(1) "Arising out of a contract with the DoD" means any act in connection with—

(i) Attempting to obtain;

(ii) Obtaining, or

(iii) Performing a contract or first-tier subcontract of any agency, department, or component of the Department of Defense (DoD).

(2) "Conviction of fraud or any other felony" means any conviction for fraud or a felony in violation of state or Federal criminal statutes, whether entered on a verdict or plea, including a plea of *nolo contendere*, for which sentence has been imposed.

(3) "Date of conviction" means the date judgment was entered against the individual.

(b) Any individual who is convicted after September 29, 1988, of fraud or any other felony arising out of a contract with the DoD is prohibited from serving--

(1) In a management or supervisory capacity on any DoD contract or first-tier subcontract;

(2) On the board of directors of any DoD contractor or first-tier subcontractor;

(3) As a consultant, agent, or representative for any DoD contractor or first-tier subcontractor; or

(4) In any other capacity with the authority to influence, advise, or control the decisions of any DoD contractor or subcontractor with regard to any DoD contract or first-tier subcontract.

(c) Unless waived, the prohibition in paragraph (b) of this clause applies for not less than 5 years from the date of conviction.

(d) 10 U.S.C. 2408 provides that a defense contractor or first-tier subcontractor shall be subject to a criminal penalty of not more than \$500,000 if convicted of knowingly—

(1) Employing a person under a prohibition specified in paragraph (b) of this clause; or

- (2) Allowing such a person to serve on the board of directors of the contractor or first-tier subcontractor.
- (e) In addition to the criminal penalties contained in 10 U.S.C. 2408, the Government may consider other available remedies, such as—
  - (1) Suspension or debarment;
  - (2) Cancellation of the contract at no cost to the Government; or
  - (3) Termination of the contract for default.
- (f) The Contractor may submit written requests for waiver of the prohibition in paragraph (b) of this clause to the Contracting Officer. Requests shall clearly identify—
  - (1) The person involved;
  - (2) The nature of the conviction and resultant sentence or punishment imposed;
  - (3) The reasons for the requested waiver; and
  - (4) An explanation of why a waiver is in the interest of national security.
- (g) The Contractor agrees to include the substance of this clause, appropriately modified to reflect the identity and relationship of the parties, in all first-tier subcontracts exceeding the simplified acquisition threshold in Part 2 of the Federal Acquisition Regulation, except those for commercial items or components.
- (h) Pursuant to 10 U.S.C. 2408(c), defense contractors and subcontractors may obtain information as to whether a particular person has been convicted of fraud or any other felony arising out of a contract with the DoD by contacting The Office of Justice Programs, The Denial of Federal Benefits Office, U.S. Department of Justice, telephone (202) 616-3507.
- (End of clause)

**252.204-7003 CONTROL OF GOVERNMENT PERSONNEL WORK PRODUCT (APR 1992)**

The Contractor's procedures for protecting against unauthorized disclosure of information shall not require Department of Defense employees or members of the Armed Forces to relinquish control of their work products, whether classified or not, to the contractor.

(End of clause)

**252.204-7004 REQUIRED CENTRAL CONTRACTOR REGISTRATION.(MAR 2000)**

(a) Definitions.

As used in this clause--

(1) Central Contractor Registration (CCR) database means the primary DoD repository for contractor information required for the conduct of business with DoD.

(2) Data Universal Numbering System (DUNS) number means the 9-digit number assigned by Dun and Bradstreet Information Services to identify unique business entities.

(3) Data Universal Numbering System +4 (DUNS+4) number means the DUNS number assigned by Dun and Bradstreet plus a 4-digit suffix that may be assigned by a parent (controlling) business concern. This 4-digit suffix may be assigned at the discretion of the parent business concern for such purposes as identifying subunits or affiliates of the parent business concern.

(4) Registered in the CCR database means that all mandatory information, including the DUNS number or the DUNS+4 number, if applicable, and the corresponding Commercial and Government Entity (CAGE) code, is in the CCR database; the DUNS number and the CAGE code have been validated; and all edits have been successfully completed.

(b)(1) By submission of an offer, the offeror acknowledges the requirement that a prospective awardee must be registered in the CCR database prior to award, during performance, and through final payment of any contract resulting from this solicitation, except for awards to foreign vendors for work to be performed outside the United States.

(2) The offeror shall provide its DUNS or, if applicable, its DUNS+4 number with its offer, which will be used by the Contracting Officer to verify that the offeror is registered in the CCR database.

(3) Lack of registration in the CCR database will make an offeror ineligible for award.

(4) DoD has established a goal of registering an applicant in the CCR database within 48 hours after receipt of a complete and accurate application via the Internet. However, registration of an applicant submitting an application through a method other than the Internet may take up to 30 days. Therefore, offerors that are not registered should consider applying for registration immediately upon receipt of this solicitation.

(c) The Contractor is responsible for the accuracy and completeness of the data within the CCR, and for any liability resulting from the Government's reliance on inaccurate or incomplete data. To remain registered in the CCR database after the initial registration, the Contractor is required to confirm on an annual basis that its information in the CCR database is accurate and complete.

(d) Offerors and contractors may obtain information on registration and annual confirmation requirements by calling 1-888-227-2423, or via the Internet at <http://www.ccr2000.com>.

(End of clause)

**252.205-7000 PROVISION OF INFORMATION TO COOPERATIVE AGREEMENT HOLDERS (DEC 1991)**

(a) Definition.

"Cooperative agreement holder" means a State or local government; a private, nonprofit organization; a tribal organization (as defined in section 4(c) of the Indian Self-Determination and Education Assistance Act (Pub. L. 93-268; 25 U.S.C. 450 (c))); or an economic enterprise (as defined in section 3(e) of the Indian Financing Act of 1974 (Pub. L. 93-362; 25 U.S.C. 1452(e))) whether such economic enterprise is organized for profit or nonprofit



purposes; which has an agreement with the Defense Logistics Agency to furnish procurement technical assistance to business entities.

(b) The Contractor shall provide cooperative agreement holders, upon their request, with a list of those appropriate employees or offices responsible for entering into subcontracts under defense contracts. The list shall include the business address, telephone number, and area of responsibility of each employee or office.

(c) The Contractor need not provide the listing to a particular cooperative agreement holder more frequently than once a year.

(End of clause)

***252.209-7000 ACQUISITION FROM SUBCONTRACTORS SUBJECT TO ONSITE INSPECTION UNDER THE INTERMEDIATE-RANGE NUCLEAR FORCES (INF) TREATY (NOV 1995)***

(a) The Contractor shall not deny consideration for a subcontract award under this contract to a potential subcontractor subject to on-site inspection under the INF Treaty, or a similar treaty, solely or in part because of the actual or potential presence of Soviet inspectors at the subcontractor's facility, unless the decision is approved by the Contracting Officer.

(b) The Contractor shall incorporate this clause, including this paragraph (b), in all solicitations and contracts exceeding the simplified acquisition threshold in part 13 of the Federal Acquisition Regulation, except those for commercial items.

***252.209-7003 COMPLIANCE WITH VETERANS' EMPLOYMENT REPORTING REQUIREMENTS (MAR 1998)***

By submission of its offer, the offeror represents that, if it is subject to the reporting requirements of 37 U.S.C. 4212(d) (i.e., the VETS-100 report required by Federal Acquisition Regulation clause 52.222-37, Employment Reports on Disabled Veterans and Veterans of the Vietnam Era), it has submitted the most recent report required by 38 U.S.C. 4212(d).

***252.209-7004 SUBCONTRACTING WITH FIRMS THAT ARE OWNED OR CONTROLLED BY THE GOVERNMENT OF A TERRORIST COUNTRY (MAR 1998)***

(a) Unless the Government determines that there is a compelling reason to do so, the Contractor shall not enter into any subcontract in excess of \$25,000 with a firm, or subsidiary of a firm, that is identified, on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs, as being ineligible for the award of Defense contracts or subcontracts because it is owned or controlled by the government of a terrorist country.

(b) A corporate officer or a designee of the Contractor shall notify the Contracting Officer, in writing, before entering into a subcontract with a party that is identified, on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs, as being ineligible for the award of Defense contracts or subcontracts because it is owned or controlled by the government of a terrorist country. The notice must include the name of the proposed

subcontractor notwithstanding its inclusion on the List of Parties Excluded From Federal Procurement and Nonprocurement Programs.

**252.219-7003 SMALL, SMALL DISADVANTAGED AND WOMEN-OWNED SMALL BUSINESS SUBCONTRACTING PLAN (DOD CONTRACTS) (APR. 1996)**

This clause supplements the Federal Acquisition Regulation 52.219-9, Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan, clause of this contract.

(a) *Definitions. Historically black colleges and universities*, as used in this clause, means institutions determined by the Secretary of Education to meet the requirements of 34 CFR 608.2. The term also means any nonprofit research institution that was an integral part of such a college or university before November 14, 1986.

*Minority institutions*, as used in this clause, means institutions meeting the requirements of section 1046(3) of the Higher Education Act of 1965 (20 U.S.C. 1135d-5(3)). The term also includes Hispanic-serving institutions as defined in section 316(b)(1) of such Act (20 U.S.C. 1059c(b)(1)).

(b) Except for company or division-wide commercial items subcontracting plans, the term *small disadvantaged business*, when used in the FAR 52.219-9 clause, includes historically black colleges and universities and minority institutions, in addition to small disadvantaged business concerns.

(c) Work under the contract or its subcontracts shall be credited toward meeting the small disadvantaged business concern goal required by paragraph (d) of the FAR 52.219-9 clause when:

- (1) It is performed on Indian lands or in joint venture with an Indian tribe or a tribally-owned corporation, and
- (2) It meets the requirements of 10 U.S.C. 2323a.

(d) Subcontracts awarded to workshops approved by the Committee for Purchase from People Who are Blind or Severely Disabled (41 U.S.C. 46-48), may be counted toward the Contractor's small business subcontracting goal.

(e) A mentor firm, under the Pilot Mentor-Protege Program established under Section 831 of Pub. L. 101-510, as amended, may count toward its small disadvantaged business goal, subcontracts awarded--

(f) The master plan approval referred to in paragraph (f) of the FAR 52.219-9 clause is approval by the Contractor's cognizant contract administration activity.

(g) In those subcontracting plans which specifically identify small, small disadvantaged, and women-owned small businesses, the Contractor shall notify the Administrative Contracting Officer of any substitutions of firms that are not small, small disadvantaged, or women-owned small businesses for the firms listed in the subcontracting plan. Notifications shall be in writing and shall occur within a reasonable period of time after award of the subcontract. Contractor-specified formats shall be acceptable.

(End of clause)

**252.225-7012 PREFERENCE FOR CERTAIN DOMESTIC COMMODITIES (AUG 2000)**

(a) The Contractor agrees to deliver under this contract only such of the following articles that have been grown, reprocessed, reused, or produced in the United States, its possessions, or Puerto Rico --

- (1) Food;
  - (2) Clothing;
  - (3) Tents, tarpaulins, or covers;
  - (4) Cotton and other natural fiber products;
  - (5) Woven silk or woven silk blends;
  - (6) Spun silk yarn for cartridge cloth;
  - (7) Synthetic fabric, and coated synthetic fabric, including all textile fibers and yarns that are for use in such fabrics;
  - (8) Canvas products;
  - (9) Wool (whether in the form of fiber or yarn or contained in fabrics, materials, or manufactured articles); or
  - (10) Any item of individual equipment (Federal supply Classification 8465) manufactured from or containing such fibers, yarns, fabrics, or materials.
- (b) This clause does not apply --
- (1) To supplies listed in FAR section 25.104(a), or other supplies for which the Government has determined that a satisfactory quality and sufficient quantity cannot be acquired as and when needed at U.S. market prices;
  - (2) To foods which have been manufactured or processed in the United States, its possessions, or Puerto Rico;
  - (3) To chemical warfare protective clothing produced in the countries listed in subsection 225.872-1 of the Defense FAR Supplement; or
  - (4) To fibers and yarns that are for use in synthetic fabric or coated synthetic fabric (but does apply to the synthetic or coated synthetic fabric itself), if--
    - (i) The fabric is to be used as a component of an end item that is not a textile product. Examples of textile products, made in whole or in part of fabric, include--
      - (a) Draperies, floor coverings, furnishings, and bedding (Federal Supply Group 72, Household and Commercial Furnishings and Appliances);
      - (B) Items made in whole or in part of fabric in Federal Supply Group 83, Textile/leather/furs/apparel/findings/tents/flags, or Federal Supply Group 84, Clothing, Individual Equipment and Insignia;
    - (C) Upholstered seats (whether for household, office, or other use); and
    - (D) Parachutes (Federal Supply Class 1670); or
    - (ii) The fibers and yarns are para-aramid fibers and yarns manufactured in the Netherlands.
- (End of clause)

**252.225-7031 SECONDARY ARAB BOYCOTT OF ISRAEL (JUN 1992)**

(a) Definitions. As used in this clause--

(1) "Foreign person" means any person other than a United States person as defined in Section 16(2) of the Export Administration Act of 1979 (50 U.S.C. App. Sec 2415).

(2) "United States person" is defined in Section 16(2) of the Export Administration Act of 1979 and means any United States resident or national (other than an individual resident outside the United States and employed by other than a United States person), any domestic concern (including any permanent domestic establishment of any foreign concern), and any foreign subsidiary or affiliate (including any permanent foreign establishment) of any domestic concern which is controlled in fact by such domestic concerns, as determined under regulations of the President.

(b) Certification. By submitting this offer, the Offeror, if a foreign person, company or entity, certifies that it--

(1) Does not comply with the Secondary Arab Boycott of Israel; and

(2) Is not taking or knowingly agreeing to take any action, with respect to the Secondary Boycott of Israel by Arab countries, which 50 U.S.C. App. Sec 2407(a) prohibits a United States person from taking.

(End of clause)

**252.227-7033 RIGHTS IN SHOP DRAWINGS (APR 1966)**

(a) Shop drawings for construction means drawings, submitted to the Government by the Construction Contractor, subcontractor or any lower-tier subcontractor pursuant to a construction contract, showing in detail (i) the proposed fabrication and assembly of structural elements and (ii) the installation (i.e., form, fit, and attachment details) of materials or equipment. The Government may duplicate, use, and disclose in any manner and for any purpose shop drawings delivered under this contract.

(b) This clause, including this paragraph (b), shall be included in all subcontracts hereunder at any tier.

**252.231-7000 SUPPLEMENTAL COST PRINCIPLES (DEC 1991)**

When the allowability of costs under this contract is determined in accordance with part 31 of the Federal Acquisition Regulation (FAR), allowability shall also be determined in accordance with part 231 of the Defense FAR Supplement, in effect on the date of this contract.

**252.236-7000 MODIFICATION PROPOSALS - PRICE BREAKDOWN. (DEC 1991)**

(a) The Contractor shall furnish a price breakdown, itemized as required and within the time specified by the Contracting Officer, with any proposal for a contract modification.

(b) The price breakdown --

(1) Must include sufficient detail to permit an analysis of profit, and of all costs for --

(i) Material;

(ii) Labor;

(iii) Equipment;

(iv) Subcontracts; and

(v) Overhead; and

(2) Must cover all work involved in the modification, whether the work was deleted, added, or changed.

(c) The Contractor shall provide similar price breakdowns to support any amounts claimed for subcontracts.

(d) The Contractor's proposal shall include a justification for any time extension proposed.

**252.236-7001 CONTRACT DRAWINGS, MAPS, AND SPECIFICATIONS (AUG 2000)**

(a) The Government will provide to the Contractor, without charge, one set of contract drawings and specifications, except publications incorporated into the technical provisions by reference, in electronic or paper media as chosen by the Contracting Officer.

(b) The Contractor shall--

(1) Check all drawings furnished immediately upon receipt;

(2) Compare all drawings and verify the figures before laying out the work;

(3) Promptly notify the Contracting Officer of any discrepancies;

(4) Be responsible for any errors that might have been avoided by complying with this paragraph (b); and

(5) Reproduce and print contract drawings and specifications as needed.

(c) In general--

(1) Large-scale drawings shall govern small-scale drawings; and

(2) The Contractor shall follow figures marked on drawings in preference to scale measurements.

(d) Omissions from the drawings or specifications or the misdescription of details of work that are manifestly necessary to carry out the intent of the drawings and specifications, or that are customarily performed, shall not relieve the Contractor from performing such omitted or misdescribed details of the work. The Contractor shall perform such details as if fully and correctly set forth and described in the drawings and specifications.

(e) The work shall conform to the specifications and the contract drawings identified on the following index of drawings:

**Title            File            Drawing No.**

The contract drawings are listed on the sheet(s) titled DRAWING INDEX included in the drawing set as Drawing Number M-P-FALLS-00/0002. Work shall also conform to any drawings added by amendment or modification.

(End of clause)

**252.236-7002    OBSTRUCTION OF NAVIGABLE WATERWAYS. (DEC 1991)**

(a) The Contractor shall --

(1) Promptly recover and remove any material, plant, machinery, or appliance which the contractor loses, dumps, throws overboard, sinks, or misplaces, and which, in the opinion of the Contracting Officer, may be dangerous to or obstruct navigation;

(2) Give immediate notice, with description and locations of any such obstructions, to the Contracting Officer; and

(3) When required by the Contracting Officer, mark or buoy such obstructions until the same are removed.

(b) The Contracting Officer may --

(1) Remove the obstructions by contract or otherwise should the Contractor refuse, neglect, or delay compliance with paragraph (a) of this clause; and

(2) Deduct the cost of removal from any monies due or to become due to the Contractor; or

(3) Recover the cost of removal under the Contractor's bond.

(c) The Contractor's liability for the removal of a vessel wrecked or sunk without fault or negligence is limited to that provided in sections 15, 19, and 20 of the River and Harbor Act of March 3, 1899 (33 U.S.C. 410 et. seq.).

**252.242-7000    POSTAWARD CONFERENCE (DEC 1991)**

The Contractor agrees to attend any postaward conference convened by the contracting activity or contract administration office in accordance with Federal Acquisition Regulation subpart 42.5.

(End of clause)

**252.243-7001    PRICING OF CONTRACT MODIFICATIONS (DEC 1991)**

When costs are a factor in any price adjustment under this contract, the contract cost principles and procedures in FAR part 31 and DFARS part 231, in effect on the date of this contract, apply.

**252.243-7002 REQUESTS FOR EQUITABLE ADJUSTMENT (MAR 1998)**

(a) The amount of any request for equitable adjustment to contract terms shall accurately reflect the contract adjustment for which the Contractor believes the Government is liable. The request shall include only costs for performing the change, and shall not include any costs that already have been reimbursed or that have been separately claimed. All indirect costs included in the request shall be properly allocable to the change in accordance with applicable acquisition regulations.

(b) In accordance with 10 U.S.C. 2410(a), any request for equitable adjustment to contract terms that exceeds the simplified acquisition threshold shall bear, at the time of submission, the following certificate executed by an individual authorized to certify the request on behalf of the Contractor:

I certify that the request is made in good faith, and that the supporting data are accurate and complete to the best of my knowledge and belief.

-----  
(Official's Name)

-----  
(Title)

(c) The certification in paragraph (b) of this clause requires full disclosure of all relevant facts, including--

(1) Cost or pricing data if required in accordance with subsection 15.403-4 of the Federal Acquisition Regulation (FAR); and

(2) Information other than cost or pricing data, in accordance with subsection 15.403-3 of the FAR, including actual cost data and data to support any estimated costs, even if cost or pricing data are not required.

(d) The certification requirement in paragraph (b) of this clause does not apply to----

(1) Requests for routine contract payments; for example, requests for payment for accepted supplies and services, routine vouchers under a cost-reimbursement type contract, or progress payment invoices; or

(2) Final adjustment under an incentive provision of the contract.

**252.247-7023 TRANSPORTATION OF SUPPLIES BY SEA (MAR 2000)**

(a) Definitions. As used in this clause --

(1) "Components" means articles, materials, and supplies incorporated directly into end products at any level of manufacture, fabrication, or assembly by the Contractor or any subcontractor.

(2) "Department of Defense" (DoD) means the Army, Navy, Air Force, Marine Corps, and defense agencies.

(3) "Foreign flag vessel" means any vessel that is not a U.S.-flag vessel.

(4) "Ocean transportation" means any transportation aboard a ship, vessel, boat, barge, or ferry through international waters.

(5) "Subcontractor" means a supplier, materialman, distributor, or vendor at any level below the prime contractor

whose contractual obligation to perform results from, or is conditioned upon, award of the prime contract and who is performing any part of the work or other requirement of the prime contract.

(6) "Supplies" means all property, except land and interests in land, that is clearly identifiable for eventual use by or owned by the DoD at the time of transportation by sea.

(i) An item is clearly identifiable for eventual use by the DoD if, for example, the contract documentation contains a reference to a DoD contract number or a military destination.

(ii) "Supplies" includes (but is not limited to) public works; buildings and facilities; ships; floating equipment and vessels of every character, type, and description, with parts, subassemblies, accessories, and equipment; machine tools; material; equipment; stores of all kinds; end items; construction materials; and components of the foregoing.

(7) "U.S.-flag vessel" means a vessel of the United States or belonging to the United States, including any vessel registered or having national status under the laws of the United States.

(b)(1) The Contractor shall use U.S.-flag vessels when transporting any supplies by sea under this contract.

(2) A subcontractor transporting supplies by sea under this contract shall use U.S.-flag vessels if--

(i) This contract is a construction contract; or

(ii) The supplies being transported are--

(A) Noncommercial items; or

(B) Commercial items that--

(1) The Contractor is reselling or distributing to the Government without adding value (generally, the Contractor does not add value to items that it contracts for f.o.b. destination shipment);

(2) Are shipped in direct support of U.S. military contingency operations, exercises, or forces deployed in humanitarian or peacekeeping operations; or

(3) Are commissary or exchange cargoes transported outside of the Defense Transportation System in accordance with 10 U.S.C. 2643.

(c) The Contractor and its subcontractors may request that the Contracting Officer authorize shipment in foreign-flag vessels, or designate available U.S.-flag vessels, if the Contractor or a subcontractor believes that --

(1) U.S.-flag vessels are not available for timely shipment;

(2) The freight charges are inordinately excessive or unreasonable; or

(3) Freight charges are higher than charges to private persons for transportation of like goods.

(d) The Contractor must submit any request for use of other than U.S.-flag vessels in writing to the Contracting Officer at least 45 days prior to the sailing date necessary to meet its delivery schedules. The Contracting Officer will process requests submitted after such date(s) as expeditiously as possible, but the Contracting Officer's failure to grant approvals to meet the shipper's sailing date will not of itself constitute a compensable delay under this or any other clause of this contract. Requests shall contain at a minimum --

(1) Type, weight, and cube of cargo;

(2) Required shipping date;



(3) Special handling and discharge requirements;

(4) Loading and discharge points;

(5) Name of shipper and consignee;

(6) Prime contract number; and

(7) A documented description of efforts made to secure U.S.-flag vessels, including points of contact (with names and telephone numbers) with at least two U.S.-flag carriers contacted. Copies of telephone notes, telegraphic and facsimile message or letters will be sufficient for this purpose.

(e) The Contractor shall, within 30 days after each shipment covered by this clause, provide the Contracting Officer and the Division of National Cargo, Office of Market Development, Maritime Administration, U.S. Department of Transportation, Washington, DC 20590, one copy of the rated on board vessel operating carrier's ocean bill of lading, which shall contain the following information --

(1) Prime contract number;

(2) Name of vessel;

(3) Vessel flag of registry;

(4) Date of loading;

(5) Port of loading;

(6) Port of final discharge;

(7) Description of commodity;

(8) Gross weight in pounds and cubic feet if available;

(9) Total ocean freight in U.S. dollars; and

(10) Name of the steamship company.

(f) The Contractor agrees to provide with its final invoice under this contract a representation that to the best of its knowledge and belief --

(1) No ocean transportation was used in the performance of this contract;

(2) Ocean transportation was used and only U.S.-flag vessels were used for all ocean shipments under the contract;

(3) Ocean transportation was used, and the Contractor had the written consent of the Contracting Officer for all non-U.S.-flag ocean transportation; or

(4) Ocean transportation was used and some or all of the shipments were made on non-U.S.-flag vessels without the written consent of the Contracting Officer. The Contractor shall describe these shipments in the following format:

ITEM DESCRIPTION	CONTRACT LINE ITEMS	QUANTITY
---------------------	------------------------	----------

---



---

---



---

TOTAL \_\_\_\_\_

(g) If the final invoice does not include the required representation, the Government will reject and return it to the Contractor as an improper invoice for the purposes of the Prompt Payment clause of this contract. In the event there has been unauthorized use of non-U.S.-flag vessels in the performance of this contract, the Contracting Officer is entitled to equitably adjust the contract, based on the unauthorized use.

(h) The Contractor shall include this clause, including this paragraph (h), in all subcontractors under this contract that--

(1) Exceed the simplified acquisition threshold in Part 2 of the Federal Acquisition Regulation; and

(2) Are for a type of supplies described in paragraph (b)(3) of this clause.

(End of clause)

***252.247-7024 NOTIFICATION OF TRANSPORTATION OF SUPPLIES BY SEA (MAR 2000)***

(a) The Contractor has indicated by the response to the solicitation provision, Representation of Extent of Transportation by Sea, that it did not anticipate transporting by sea any supplies. If, however, after the award of this contract, the Contractor learns that supplies, as defined in the Transportation of Supplies by Sea clause of this contract, will be transported by sea, the Contractor --

(1) Shall notify the Contracting Officer of that fact; and

(2) Hereby agrees to comply with all the terms and conditions of the Transportation of Supplies by Sea clause of this contract.

(b) The Contractor shall include this clause; including this paragraph (b), revised as necessary to reflect the relationship of the contracting parties--

(1) In all subcontracts under this contract, if this contract is a construction contract; or

(2) If this contract is not a construction contract, in all subcontracts under this contract that are for--

(i) Noncommercial items; or

(ii) Commercial items that--

(A) The Contractor is reselling or distributing to the Government without adding value (generally, the Contractor does not add value to items that it subcontracts for f.o.b. destination shipment);

(B) Are shipped in direct support of U.S. military contingency operations, exercises, or forces deployed in humanitarian or peacekeeping operations; or

(C) Are commissary or exchange cargoes transported outside of the Defense Transportation System in accordance with 10 U.S.C. 2643.

(End of clause)

**SECTION 00800 Special Contract Requirements****CLAUSES INCORPORATED BY FULL TEXT****52.000-4004 PARTNERING**

The Government proposes to form a partnering relationship with the contractor. This partnering relationship will strive to facilitate communication and draw on the strengths of each organization in an effort to achieve a quality project, within budget, and on schedule. Participation will be totally voluntary. Partnering will not alter or supersede any provision of this contract nor will it provide either party with any additional contractual rights or obligations. Participation in partnering will not affect award of this contract. Any cost associated with this partnering will be agreed to by both parties and will be shared equally, with no change in contract price.

**52.211-10 COMMENCEMENT, PROSECUTION, AND COMPLETION OF WORK (APR 1984)**

The Contractor shall be required to (a) commence work under this contract within **10** calendar days after the date the Contractor receives the notice to proceed, (b) prosecute the work diligently, and (c) complete the entire work ready for use not later than **155 calendar days after receiving NTP \***. The time stated for completion shall include final cleanup of the premises.

\*The work in the river channel shall be limited to the period between 15 June 2001 and 15 September 2001. NTP=Notice to Proceed

(End of clause)

**52.212-4003 TIME EXTENSIONS FOR UNUSUALLY SEVERE WEATHER (OCT 1989) ER 415-1-15**

a. This provision specifies the procedure for the determination of time extensions for unusually severe weather in accordance with the CONTRACT CLAUSES: DEFAULT (FIXED-PRICE CONSTRUCTION). In order for the Contracting Officer to award a time extension under this clause, the following conditions must be satisfied:

- 1) The weather experienced at the project site during the contract period must be found to be unusually severe, that is, more severe than the adverse weather anticipated for the project location during any given month.
- 2) The unusually severe weather must actually cause a delay to the completion of the project. The delay must be beyond the control and without the fault or negligence of the contractor.

b. The following schedule of monthly anticipated adverse weather delays is based on National Oceanic and Atmospheric Administration (NOAA) or similar data for the project location and will constitute the base line for monthly weather time evaluations. The contractor's progress schedule must reflect these anticipated adverse weather delays in all weather dependent activities.

MONTHLY ANTICIPATED ADVERSE WEATHER DELAY  
WORKDAYS BASED ON (5) DAY WORKWEEK.

GEOGRAPHIC LOCATION -- Morrison County, Little Falls, Minnesota  
Month    JAN FEB MAR APR MAY JUN JUL AUG SEP OCT NOV DEC

Days      19   13   7   4   5   5   4   4   4   3   6   15

c. Upon acknowledgment of the Notice to Proceed (NTP) and continuing throughout the contract, the contractor will record on the daily CQC report, the occurrence of adverse weather and resultant impact to normally scheduled work. Actual adverse weather delay days must prevent work on critical activities for 50 percent or more of the Contractor's scheduled workday. The number of actual adverse weather delay days shall include days impacted by actual adverse weather (even if adverse weather occurred in previous month), be calculated chronologically from the first to the last day of each month, and be recorded as full days. If the number of actual adverse weather delay days exceeds the number of days anticipated in paragraph b, above, the Contracting Officer will convert any qualifying delays to calendar days, giving full consideration for equivalent fair weather work days, and issue a modification in accordance with the CONTRACT CLAUSES: DEFAULT (FIXED-PRICE CONSTRUCTION).

**52.212-5000      *EVALUATION OF SUBDIVIDED ITEMS (MAR 1995)--EFARS***

Item No. 0005 is subdivided into two or more estimated quantities and are to be separately priced. The Government will evaluate each of these items on the basis of total price of its sub-items.

(End of provision)

**52.212-5001      *VARIATIONS IN ESTIMATED QUANTITIES, SUBDIVIDED ITEMS*  
(MAR 1995)--EFARS**

This variation in estimated quantities clause is applicable only to Items Nos.0005.

(a) Variation from the estimated quantity in the actual work performed under any second or subsequent sub-item or elimination of all work under such a second or subsequent sub-item will not be the basis for an adjustment in contract unit price.

(b) Where the actual quantity of work performed for Items Nos. 0005 is less than 85% of the quantity of the first sub-item listed under such item, the contractor will be paid at the contract unit price for that sub-item for the actual quantity of work performed and, in addition, an equitable adjustment shall be made in accordance with the clause FAR 52.211-18, Variation in Estimated Quantities.

(c) If the actual quantity of work performed under Items Nos. 0005 exceeds 115% or is less than 85% of the total estimated quantity of the sub-item under that item and/or if the quantity of the work performed under the second sub-item or any subsequent sub-item under Items Nos. 0005 exceeds 115% or is less than 85% of the estimated quantity of any such sub-item, and if such variation causes an increase or a decrease in the time required for performance of this contract the contract completion time will be adjusted in accordance with the clause FAR 52.211-18, Variation in Estimated Quantities.

(End of clause)

**52.228-4003      *RAILROAD PROTECTIVE LIABILITY INSURANCE***

This clause is only applicable for the pipeline easement for hydraulic dredging.

a. In addition to any other insurance required by this contract, the Contractor shall furnish railroad protective liability insurance in accordance with the Standard Provisions for General Liability Policies (Railroad Protective Liability Form), the form of which shall be subject to the approval of the Contracting Officer. Said policy shall provide coverage for bodily injury liability, property damage liability and physical damage to property in the amount of \$2,000,000 (two million dollars) per each occurrence and \$6,000,000 (six million dollars) in the aggregate. The **Burlington Northern and Santa Fe Railway Company** shall be named as the insured under said railroad protective liability policy.

b. No work shall be performed within the right-of-way of the **Burlington Northern and Santa Fe Railway Company** prior to the approval of the railroad protective liability insurance by the Contracting Officer. Said insurance shall remain in force and the Contractor completes AND the Government accepts all work to be performed in the railroad's right-of-way.

c. The Contractor shall, at least 5 (five) business days prior to commencing any work within the railroad's right-of-way, submit to the Contracting Officer a certificate of insurance warranting that the railroad protective insurance policy is in force and effect in accordance with the requirements of this contract. A duplicate original of said certificate shall be submitted to the railroad at the same time.

d. The Contractor shall, at the request of the railroad or the Government, provide a copy of the railroad protective insurance policy to the entity requesting it.

e. The railroad protective insurance policy and the certification of insurance shall contain an endorsement that any cancellation of, or change in, said policy shall not be effective unless written notice is given to the Contracting Officer AND the railroad at least 30 (thirty) days prior to the cancellation or change. The insurer's cancellation or modification of the insurance coverage shall in no way relieve the Contractor of its obligation to maintain insurance coverage in accordance with the terms of this contract.

#### **52.228-4005      *WORK IN MNDOT RIGHT-OF-WAY***

1. Portions of this work may be conducted within right-of-way owned by the Minnesota Department of Transportation (MNDOT). The contractor shall perform no work in MNDOT's right-of-way until a permit for that work is issued to the contractor by MNDOT and a copy of the fully executed permit has been provided to the Corps Western Area Engineer.

2. The contractor shall obtain the right-of-way permit from MNDOT and comply with all terms and conditions of that permit. Those conditions may require the contractor to provide flagging, traffic control, road restoration, special insurance, a cash deposit or bond, and indemnification to the State of Minnesota.

3. The Corps has negotiated a permit with MNDOT for the contractor's use. A copy of that permit is attached at Section 00830. The contractor may use that permit by signing it and obtaining a countersignature from MNDOT. MNDOT has agreed to execute the pre-negotiated permit within 15 days of the receipt of a completed permit application and deposit/bond from the contractor. Alternatively, the contractor may, at its own risk and expense, elect to apply for a separate permit from MNDOT. No adjustment in contract price or completion date will be made for: (i) any increased costs of performance or delays associated with obtaining a separate permit, or, (ii) any increased costs of performance or delays associated with performing the contract work under the terms of that separate permit.

#### **52.228-4022      *REQUIREMENT FOR BID GUARANTEE (FAR 28.101-2)***

Each bidder shall submit with its bid a Bid Bond (Standard Form 24) with good and sufficient surety or sureties acceptable to the Government or other security as provided in the clause BID GUARANTEE in the form of twenty percent (20%) of the bid price or \$3,000,000 whichever is lesser. The bid bond penalty may be expressed in terms of a percentage of the bid price or may be expressed in dollars and cents.

**52.231-5000      *EQUIPMENT OWNERSHIP AND OPERATING EXPENSE SCHEDULE***  
MAR 1995)—EFARS

(a) This clause does not apply to terminations. See 52.249-5000, Basis for Settlement of Proposals and FAR Part 49.

(b) Allowable cost for construction and marine plant and equipment in sound workable condition owned or controlled and furnished by a contractor or subcontractor at any tier shall be based on actual cost data for each piece of equipment or groups of similar serial and series for which the Government can determine both ownership and operating costs from the contractor's accounting records. When both ownership and operating costs cannot be determined for any piece of equipment or groups of similar serial or series equipment from the contractor's accounting records, costs for that equipment shall be based upon the applicable provisions of EP 1110-1-8, Construction Equipment Ownership and Operating Expense Schedule, Region IV. Working conditions shall be considered to be average for determining equipment rates using the schedule unless specified otherwise by the contracting officer. For equipment not included in the schedule, rates for comparable pieces of equipment may be used or a rate may be developed using the formula provided in the schedule. For forward pricing, the schedule in effect at the time of negotiations shall apply. For retroactive pricing, the schedule in effect at the time the work was performed shall apply.

(c) Equipment rental costs are allowable, subject to the provisions of FAR 31.105(d)(ii) and FAR 31.205-36. Rates for equipment rented from an organization under common control, lease-purchase arrangements, and sale-leaseback arrangements, will be determined using the schedule, except that actual rates will be used for equipment leased from an organization under common control that has an established practice of leasing the same or similar equipment to unaffiliated lessees.

(d) When actual equipment costs are proposed and the total amount of the pricing action exceeds the small purchase threshold, the contracting officer shall request the contractor to submit either certified cost or pricing data, or partial/limited data, as appropriate. The data shall be submitted on Standard Form 1411, Contract Pricing Proposal Cover Sheet.

(End of clause)

**52.232-4004      *INVOICE PROCEDURES***

In accordance with CONTRACT CLAUSE titled "PROMPT PAYMENT FOR CONSTRUCTION CONTRACTS", the contractor shall submit invoices as follows:

a. In order to qualify for a periodic payment, the Contractor must submit a proper invoice (request for payment) to the Contracting Officer's Representative (COR) and a determination must be made that supplies or services conform to the contract requirements. This determination will be made for the sole purpose of processing progress payments and will not constitute formal acceptance. The due date for making progress payments shall be as stated in the contract clause: PROMPT PAYMENT FOR CONSTRUCTION CONTRACTS.

b. The submitted request for payment must be accompanied with documentation adequate to substantiate the amount requested. Substantiation shall be consistent with the clauses in the solicitation titled Quantity Surveys, Purchase Orders, Invoices, etc. satisfactory to the COR.

c. The Contractor must also include with the payment request a certification as described in the Clause "PAYMENT UNDER FIXED-PRICE CONSTRUCTION CONTRACTS".

d. Payment requests will be reviewed for propriety by the COR. Defective invoices will be returned to the Contractor for resolution with defects identified. Along with the returned invoice, the COR may include, at its option, an ENG FORM 93-PAYMENT ESTIMATE reflecting the substantiated and uncontested payment amount. The Contractor will then be given the option of signing and returning the FORM 93 for payment along with the original invoice and certification or resubmitting a revised invoice and certification. To expedite payment, the Contractor may request in writing that the COR retain the defective invoice and immediately process the payment request at the amount determined to be acceptable to the Government.

#### 52.232-5001 CONTINUING CONTRACTS (MAR 1995)—EFARS

(a) This is a continuing contract, as authorized by Section 10 of the River and Harbor Act of September 22, 1922 (33 U.S. Code 621). The payment of some portion of the contract price is dependent upon reservations of funds from future appropriations, and from future contribution to the project having one or more non-federal project sponsors. The responsibilities of the Government are limited by this clause notwithstanding any contrary provision of the "Payments to Contractor" clause or any other clause of this contract.

(b) The sum of \$100,000 has been reserved for this contract and is available for payments to the contractor during the current fiscal year. However, the Government intends to obligate a total of \$900,000 for this fiscal year. It is expected that Congress will make appropriations for future fiscal years from which additional funds together with funds provided by one or more non-federal project sponsors will be reserved for this contract.

(c) Failure to make payments in excess of the amount currently reserved, or that may be reserved from time to time, shall not entitle the contractor to a price adjustment under the terms of this contract except as specifically provided in paragraphs (f) and (i) below. No such failure shall constitute a breach of this contract, except that this provision shall not bar a breach-of-contract action if an amount finally determined to be due as a termination allowance remains unpaid for one year due solely to a failure to reserve sufficient additional funds therefore.

(d) The Government may at any time reserve additional funds for payments under the contract if there are funds available for such purpose. The contracting officer will promptly notify the contractor of any additional funds reserved for the contract by issuing an administrative modification to the contract.

(e) If earnings will be such that funds reserved for the contract will be exhausted before the end of any fiscal year, the contractor shall give written notice to the contracting officer of the estimated date of exhaustion and the amount of additional funds which will be needed to meet payments due or to become due under the contract during that fiscal year. This notice shall be given not less than 45 nor more than 60 days prior to the estimated date of exhaustion.

(f) No payments will be made after exhaustion of funds except to the extent that additional funds are reserved for the contract. The contractor shall be entitled to simple interest on any payment that the contracting officer determines was actually earned under the terms of the contract and would have been made except for exhaustion of funds. Interest shall be computed from the time such payment would otherwise have been made until actually or constructively made, and shall be at the rate established by the Secretary of the Treasury pursuant to Public Law 92-41, 85 STAT 97, as in effect on the first day of the delay in such payment.

(g) Any suspension, delay, or interruption of work arising from exhaustion or anticipated exhaustion of funds shall not constitute a breach of this contract and shall not entitle the contractor to any price adjustment under the "Suspension of Work" clause or in any other manner under this contract.

(h) An equitable adjustment in performance time shall be made for any increase in the time required for performance of any part of the work arising from exhaustion of funds or the reasonable anticipation of exhaustion of funds.

(i) If, upon the expiration of sixty (60) days after the beginning of the fiscal year following an exhaustion of funds, the Government has failed to reserve sufficient additional funds to cover payments otherwise due, the contractor, by written notice delivered to the contracting officer at any time before such additional funds are reserved, may elect to treat his right to proceed with the work as having been terminated. Such a termination shall be considered a termination for the convenience of the Government.

(j) If at any time it becomes apparent that the funds reserved for any fiscal year are in excess of the funds required to meet all payments due or to become due the contractor because of work performed and to be performed under the contract during the fiscal year, the Government reserves the right, after notice to the contractor, to reduce said reservation by the amount of such excess.

(End of clause)

#### **52.236-4012 MATERIAL SOURCES**

a. Concrete aggregate and stone protection materials meeting the requirements of these specifications can be produced from the sources listed in Section 00830 "Attachments":

b. Materials may be furnished from any of the listed sources or at the option of the Contractor may be furnished from any other sources designated by the Contractor and approved by the Contracting Officer, subject to the conditions hereinafter stated.

c. After the award of the contract, the Contractor shall designate in writing only one source for each type of material or one combination of sources from which he proposes to furnish the materials. If the Contractor proposes to furnish materials from a source or from sources not listed, he may designate only a single source for each type of material or single combination of sources for materials. Samples for acceptance testing shall be provided as required by the TECHNICAL PROVISIONS. If a source for materials so designated by the Contractor is not approved for use by the Contracting Officer, the Contractor may not submit for approval other sources but shall furnish the materials from approved sources selected from the list at no additional cost to the Government.

d. Approval of a source of materials is not to be construed as approval of all material from that source. The right is reserved to reject materials from certain localized areas, zones, strata, or channels, when such materials are unsuitable as determined by the Contracting Officer. Materials produced from an approved source shall meet all the requirements of the TECHNICAL PROVISIONS of these specifications.

#### **52.236-4014 PURCHASE ORDERS**

Two legible copies of each purchase order issued by the Contractor or the Contractor's subcontractors for materials and equipment to be incorporated into the project, shall be furnished the Contracting Officer as soon as issued. Each purchase order shall (1) be clearly identified with applicable Department of Army contract number, (2) carry and identifying number, (3) be in sufficient detail to identify the material being purchased, and (4) indicate a definite delivery date. At the option of the Contractor, the copies of the purchase orders may or may not indicate the price of the articles purchased.



**52.236-4025      *FLOATING PLANT EQUIPMENT (MAY 1999)***

When mechanized equipment is operated on floating plant, the contractor shall provide positive and acceptable means of preventing this equipment from moving or falling into the water. The type of equipment addressed by this clause includes front-end loaders, bulldozers, trucks (both on and off-road), backhoes, trackhoes, and similar equipment. If the Contractor plans to use such equipment on floating plant, an activity hazard analysis must be developed for this feature of work. The plan must include a detailed explanation of the type or types of physical barriers, curbs, structures, etc., which will be incorporated to protect the operator and prevent the equipment from entering the water. Nonstructural warning devices may be considered for situations where the use of structural barriers is determined to be impracticable. The activity hazard analysis must thoroughly address the procedure and be submitted to the Corps of engineers for review and acceptance prior to start of this feature of work.

**52.236-4061      *OBSTRUCTION OF CHANNEL***

The Government will not undertake to keep the channel free from vessels or other obstructions, except to the extent of such regulations, if any, as may be prescribed by the Secretary of the Army, in accordance with the Provisions of Section 7 of the River and Harbor Act approved August 8, 1917. The Contractor will be required to conduct the work in such manner as to obstruct navigation as little as possible. The Contractor shall consult with the appropriate Coast Guard office to determine whether a Notice to Mariners will need to be issued for construction-related activities that might interfere with navigation or be interfered with by such navigation. (Point of Contact: Marine Safety Detachment, St. Paul, Minnesota, 651-290-3991) If the Contractor's plant so obstructs the channel as to make difficult or endanger the passage of vessels, said plant shall be promptly moved on the approach of any vessel to such an extent as may be necessary to afford a practicable passage. Upon the completion of the work the Contractor shall promptly remove his plant, including ranges, buoys, piles, and other marks placed by him under the contract whether in navigable waters or on shore.

**52.236-4062      *SIGNAL LIGHTS (JAN 1965)***

The Contractor shall display signal lights and conduct his operations in accordance with the General Regulation of the Department of the Army and the Coast Guard governing lights and day signals to be displayed by towing vessels with tows on which no signals can be displayed, vessels working on wrecks, dredges, and vessels engaged in laying cables or pipe or in submarine or bank protection operations, lights to be displayed on dredge pipe lines, and day signals to be displayed by vessels of more than 65 feet in length moored or anchored in a fairway or channel, and the passing by other vessels or floating plant working in navigable channels, as set forth in Commandant U.S. Coast Guard instruction M16672.2B, navigation rules: International-Inland (COMDTINST) M16672.2B, or 33 CFR 81 Appendix A (International) and 33 CFR 84 through 33 CFR (Inland) as applicable.

**52.236-4063      *RADIO***

The Contractor shall maintain a staff that is knowledgeable about radio communications to advise oncoming navigation of appropriate passing directions while the Contractor's floating plant is in the navigation channel. In particular, the Contractor shall monitor Marine Band Channel 13 for commercial navigation and Channel 16 for emergency communication.

**52.236-5000      PLANT AND MATERIAL REMOVAL AFTER CONTRACT TERMINATION**

(MAR 1995)—EFARS

Should this contract be terminated as provided in clause 52.232-5001 because of the failure of Congress to provide additional funds for its completion, the contractor may be permitted to remove plant and material on which payments for preparatory work have been made, subject to an equitable deduction from the amounts due the contractor to reimburse the United States for the unabsorbed value of such plant and material.

(End of clause)

**52.246-4001      *LABORATORY AND TESTING FACILITIES***

The Contractor shall provide and maintain all measuring and testing devices, laboratory equipment, instruments, transportation, and supplies necessary to accomplish the required testing. All measuring and testing devices shall be calibrated at established intervals against certified standards. The Contractor's measuring and testing equipment shall be made available for use by the Government for verification of their accuracy and condition as well as for any inspection or test desired pursuant to SECTION 00800: INSPECTION OF CONSTRUCTION. The location of the laboratory shall be convenient to the site such that test results are available prior to proceeding with the next sequential phase of the work.

**52.249-5000      *BASIS FOR SETTLEMENT OF PROPOSALS***

“Actual costs will be used to determine equipment costs for a settlement proposal submitted on the total cost basis under FAR 49.206-2(b). In evaluating a terminations settlement proposal using the total cost basis, the following principles will be applied to determine allowable equipment costs:

- (1) Actual costs for each piece of equipment, or groups of similar serial or series equipment, need not be available in the contractor's accounting records to determine total actual equipment costs.
- (2) If equipment costs have been allocated to a contract using predetermined rates, those charges will be adjusted to actual costs.
- (3) Recorded job costs adjusted for unallowable expenses will be used to determine equipment operating expenses.
- (4) Ownership costs (depreciation) will be determined using the contractor's depreciation schedule (subject to the provisions of FAR 31.205-11).
- (5) License, taxes, storage and insurance costs are normally recovered as an indirect expense and unless the contractor charges these costs directly to contracts, they will be recovered through the indirect expense rate.”

(End of Clause)

SECTION 00830

LIST OF ATTACHMENTS

<u>ATTACHMENT</u>	<u>TITLE</u>	<u>Page</u>
A.	LIST OF KNOWN MATERIAL SOURCES	00830-A-1
B.	WAGE RATES	00830-B-1
	Morrison County, Minnesota - Heavy Construction Mississippi River - Dredging	
C.	MNDOT PERMIT	00830-C-1
D.	REAL ESTATE AGREEMENT	00830-D-1

ATTACHMENT A  
LIST OF KNOWN MATERIAL SOURCES

1. Stone Protection Materials:

<u>PIT NAME</u>	<u>LOCATION</u>	<u>OWNER / OPERATOR</u>
Dixon Pit (a.k.a.: Gull Lake Pit)	SW 1/4, SE 1/4, Sec. 1; & NW 1/4, NE 1/4, Sec. 12; T 134 N, R 30 W, Cass County, MN	Roberts Sand and Gravel, Inc. 1701 Emma Ave. Brainerd, MN 56401 (218) 829-2952
Hand Pit	SE 1/4, Sec. 13; T 137 N, R 30 W, Cass County, MN	Tri-City Paving Company County Road 76 Little Falls, MN 56345 (320) 632-5435
Hengel Construction (Main Pit)	NE 1/4, Sec. 13; T 133, R 30 W, Cass County, MN	Hengel Redi-Mix & Construction Rt. 1, Box 261 (Hwy 210) Pillager, MN 56473 (218) 746-3198
Mark Langer Pit	NW 1/4, NW 1/4, Sec. 14; T 41 N, R 29 W, Morrison County, MN	Tri-City Paving Company County Road 76 Little Falls, MN 56345 (320) 632-5435
Pierz Pit	NW 1/4, NW 1/4, Sec. 9; T 40 N, R 30 W, Morrison County, MN	Tri-City Paving Company County Road 76 Little Falls, MN 56345 (320) 632-5435
Portage Sand & Gravel (Main Pit)	SE 1/4, Sec. 28; T 46 N, R 28 W, Crow Wing County, MN	Portage Sand & Gravel, Inc. P.O. Box 487 Deerwood, MN 56444 (218) 534-3596
Strauss Pit	NE 1/4, SW 1/4, Sec. 28; T 42 N, R 28 W, Morrison County, MN	Tri-City Paving Company County Road 76 Little Falls, MN 56345 (320) 632-5435
Swenson Pit (a.k.a.: Pequot Pit) (a.k.a.: Sibley Township Pit)	SE 1/4, Sec 1; T 136 N, R 29 W, Crow Wing County, MN	Anderson Bros. Construction Box 421 (Hwy 210) Brainerd, MN 56401 (218) 829-1768
Tri-City Pit #1	NW 1/4, SW 1/4, Sec. 27; T 138 N, R 28 W, Crow Wing County, MN	Tri-City Paving Company County Road 76 Little Falls, MN 56345

(320) 632-5435

ATTACHMENT B

WAGE RATES



## General Decision Number MN010059

---

General Decision Number **MN010059**

Superseded General Decision No. MN000059

State: **Minnesota**

Construction Type:

HEAVY

County(ies):

AITKIN	KANABEC	PENNINGTON
BECKER	KANDIYOHI	PINE
BELTRAMI	KITTSO	PIPESTONE
BIG STONE	KOOCHICHING	POPE
BLUE EARTH	LAC QUI PARLE	RED LAKE
BROWN	LAKE	REDWOOD
CARLTON	LAKE OF THE WOODS	RENVILLE
CASS	LE SUEUR	RICE
CHIPPEWA	LINCOLN	ROCK
CLEARWATER	LYON	ROSEAU
COOK	MAHNOMEN	SIBLEY
COTTONWOOD	MARSHALL	STEELE
CROW WING	MARTIN	STEVENS
DODGE	MCLEOD	SWIFT
DOUGLAS	MEEKER	TODD
FARIBAULT	MILLE LACS	TRAVERSE
FILLMORE	<b>MORRISON</b>	WABASHA
FREEBORN	MOWER	WADENA
GOODHUE	MURRAY	WASECA
GRANT	NICOLLET	WATONWAN
HUBBARD	NOBLES	WILKIN
ITASCA	NORMAN	WINONA
JACKSON	OTTER TAIL	YELLOW MEDICINE

HEAVY CONSTRUCTION PROJECTS (Does not include Water & Sewer Line  
or Treatment Plants)

Modification Number      Publication Date

0      03/02/2001

COUNTY(ies):

AITKIN	KANABEC	PENNINGTON
BECKER	KANDIYOHI	PINE
BELTRAMI	KITTSO	PIPESTONE
BIG STONE	KOOCHICHING	POPE
BLUE EARTH	LAC QUI PARLE	RED LAKE
BROWN	LAKE	REDWOOD
CARLTON	LAKE OF THE WOODS	RENVILLE
CASS	LE SUEUR	RICE
CHIPPEWA	LINCOLN	ROCK
CLEARWATER	LYON	ROSEAU
COOK	MAHNOMEN	SIBLEY
COTTONWOOD	MARSHALL	STEELE
CROW WING	MARTIN	STEVENS
DODGE	MCLEOD	SWIFT
DOUGLAS	MEEKER	TODD
FARIBAULT	MILLE LACS	TRAVERSE
FILLMORE	<b>MORRISON</b>	WABASHA
FREEBORN	MOWER	WADENA
GOODHUE	MURRAY	WASECA
GRANT	NICOLLET	WATONWAN
HUBBARD	NOBLES	WILKIN

ITASCA	NORMAN	WINONA
JACKSON	OTTER TAIL	YELLOW MEDICINE
ELEC0110J	05/01/1999	

	Rates	Fringes
GOODHUE (West of Belle Creek, Minneola, Roscoe & Vasa Townships), KANABEC (South of Hillman, Peace & Pomroy Townships), LE SUEUR (East of Cleveland, Sharon, Tyrone & Washington Townships), MILLE LACS (South of Bradbury, Lewis & Onamia Townships), PINE (South of Arione, Barry, Clover, Hinckley & Ogema Townships) & RICE COUNTIES:		
ELECTRICIANS	24.71	10.69
CABLE SPLICERS	25.71	10.69

-----  
ELEC0242F 06/01/2000

	Rates	Fringes
AITKIN, CARLTON, CASS (Bounded on the north by the south line of Leech Lake, <b>Minnesota</b> Island, Could, Bay River & Salem Townships), COOK, CROW WING, HUBBARD (Except Rockwood, Helga, Farden, Lake Hattie, Schoolcraft, Guthrie, Hart Lake, Lake Alice, Lake George, Hendrickson & Lakeport), ITASCA (Southerly 12 Townships, including Harris, Feely, Blackberry, Spang, Coodland, Sago & Wawina), KANABEC (Northern part, including Brook, Ford, Krosche, Hillman, Peace & Pomroy Townships), LAKE, MILLE LACS (Including Northerly Townships of Kathio, South Harbor, Isle, East Side, Onamia & Harbor), <b>MORRISON</b> , PINE (Excluding southerly Townships of Brook Park, Mission Creek, Munch, Crosby, Pokegama, Cross Lake, Chengwatana, Royalton, Rock Creek & Pine City), TODD & WADENA COUNTIES:		
ELECTRICIANS	27.76	9.16

-----  
ELEC0292I 05/31/1999

	Rates	Fringes
BIG STONE, CHIPPEWA, KANDIYOHI, LAC QUI PARLE, MCLEOD, MEEKER, POPE, STEVENS & SWIFT COUNTIES:		
ELECTRICAL INSTALLATIONS OVER \$300,000.00:		
ELECTRICIANS	22.95	9.36
CABLE SPLICERS	23.95	9.39
ELECTRICAL INSTALLATIONS UNDER \$300,000.00:		
ELECTRICIANS	20.00	8.55
CABLE SPLICERS	21.00	8.58

-----  
ELEC0294H 06/01/2000

	Rates	Fringes
CASS (Northern part, bounded on the south by a line extending east & west of the south line of Boy River & Salem Townships), HUBBARD (Northern part, bounded on the south by a line extending east & west of the south line of Lake Alice & Lake George Townships) & KOOCHICHING COUNTIES:		
ELECTRICIANS	24.70	9.76
CABLE SPLICERS	25.25	9.97

-----  
ELEC0294K 06/01/2000

	Rates	Fringes
BELTRAMI, CLEARWATER, ITASCA (Excluding the section south of a line extending east & west of the south line of Grand Rapids & Trout Lake Townships) & LAKE OF THE WOODS (Excluding the northwest angle) COUNTIES:		
ELECTRICIANS:		
Electrical Installations Under \$3,000,000.00	20.05	7.08
All Other Work:		
Electricians	24.70	9.76
Cable Splicers	25.25	9.97

-----

ELEC0343L 05/31/1999

	Rates	Fringes
BLUE EARTH, BROWN, COTTONWOOD, DODGE, FARIBAULT, FILLMORE, FREEBORN, GOODHUE (Except that portion west of Belle Creek, Minneola, Roscoe & Vasa Townships), JACKSON, LE SUEUR (Cleveland, Le Sueur, Ottawa, Sharon, Tyrone, Washington & Kasota Townships), LINCOLN, LYON, MARTIN, MOWER, NICOLLET, REDWOOD, RENVILLE, SIBLEY, STEELE, WABASHA, WASECA, WATONWAN, WINONA & YELLOW MEDICINE COUNTIES:		
ELECTRICAL INSTALLATIONS OVER \$300,000.00:		
ELECTRICIANS	22.99	9.12
CABLE SPLICERS	23.99	9.26
ELECTRICAL INSTALLATIONS UNDER \$300,000.00:		
ELECTRICIANS	20.24	8.75
CABLE SPLICERS	21.24	8.89

-----  
ELEC0426E 06/01/1999

	Rates	Fringes
MURRAY, NOBLES, PIPESTONE & ROCK COUNTIES: 0 TO 10 MILES FROM THE CITIES OF ABERDEEN & WATERTOWN, SOUTH DAKOTA; & WORTHINGTON, <b>MINNESOTA</b> ; AND 0 TO 70 MILES FROM SIOUX FALLS, SOUTH DAKOTA:		
ELECTRICIANS	19.00	6.105
CABLE SPLICERS	20.90	6.34
BEYOND THE AFOREMENTIONED AREAS:		
ELECTRICIANS	21.40	6.405
CABLE SPLICERS	23.54	6.67

-----  
ELEC1426I 06/01/1998

	Rates	Fringes
BECKER, DOUGLAS, GRANT, KITTSO, MAHNOMEN, MARSHALL, NORMAN, OTTER TAIL, PENNINGTON, RED LAKE, ROSEAU, TRAVERSE & WILKIN COUNTIES:		
ELECTRICIANS	14.70	4.64
CABLE SPLICERS	15.45	4.73

-----  
ENGI0049W 05/01/2000

	Rates	Fringes
POWER EQUIPMENT OPERATORS: AITKIN, BLUE EARTH, CARLTON, CASS (South of the northern right- of-way of U.S. Hwy #2 & east of the western right-of-way of U.S. Hwy #371), CROW WING (East of the western right-of-way of U.S. Hwy #371), DODGE, FARIBAULT, FILLMORE, FREEBORN, GOODHUE, ITASCA (East of the western right-of-way of <b>Minnesota</b> Hwy #6), KANABEC, KOOCHICHING (East of a north-south line from the Canadian border to Pelland, the western right-of-way of U.S. Hwy #71 from Pelland to Big Falls & <b>Minnesota</b> Hwy #6), LE SUEUR, MILLE LACS, <b>MORRISON</b> (East of the western right-of-way of U.S. Hwy #371 & U.S. Hwy #10 from Little Falls to the Morrison-Benton County line), MOWER, PINE, RICE, STEELE, WABASHA, WASECA & WINONA COUNTIES; & BROWN, MCLEOD, MARTIN, MEEKER, NICOLLET, SIBLEY & WATONWAN COUNTIES (East of the western right-of-way of <b>Minnesota</b> Hwy #15):		
GROUP 1	22.76	7.15
GROUP 2	22.31	7.15
GROUP 3	22.14	7.15
GROUP 4	22.01	7.15
GROUP 5	19.44	7.15
GROUP 6	18.57	7.15
BECKER, BELTRAMI, BIG STONE, CASS (Excluding area south of the northern right-of-way of U.S. Hwy #2 & east of the western right-of-way of U.S. Hwy #371), CHIPPEWA, CLEARWATER, COTTONWOOD, CROW WING (Excluding area east of the western right- of-way of U.S. Hwy #371), DOUGLAS, GRANT, HUBBARD, ITASCA		



(Excluding area east of the western right-of-way of **Minnesota** Hwy #6), JACKSON area east of a north-south line from the Canadian border to Pelland, the western right-of-way of U.S. Hwy #71 from Pelland to Big Falls & **Minnesota** Hwy #6), LAC QUI PARLE, LAKE OF THE WOODS, LINCOLN, LYON, MAHNOMEN, MARSHALL, **MORRISON** (Excluding area east of the western right-of-way of U.S. Hwy #371 & U.S. Hwy #10 from Little Falls to the Morrison-Benton County line), MURRAY, NOBLES, NORMAN, OTTER TAIL, PENNINGTON, PIPESTONE, POPE, RED LAKE, REDWOOD, RENVILLE, ROCK, ROSEAU, STEVENS, SWIFT, TODD, TRAVERSE, WADENA, WILKIN & YELLOW MEDICINE COUNTIES; & BROWN, MCLEOD, MARTIN, MEEKER, NICOLLET, SIBLEY & WATONWAN COUNTIES (Excluding the area east of the western right-of-way of **Minnesota** Hwy #15):

GROUP 1	20.75	7.15
GROUP 2	19.82	7.15
GROUP 3	19.62	7.15
GROUP 4	19.51	7.15
GROUP 5	17.80	7.15
GROUP 6	17.20	7.15

COOK & LAKE COUNTIES:

GROUP 1	24.37	7.15
GROUP 2	23.82	7.15
GROUP 3	23.64	7.15
GROUP 4	23.52	7.15
GROUP 5	20.48	7.15
GROUP 6	19.27	7.15

POWER EQUIPMENT OPERATOR CLASSIFICATIONS

GROUP 1 - \*Crane with over 135' Boom, excluding Jib; & Hydraulic Backhoe and/or other similar equipment with Shovel-type Controls 3 cu. yds. & over Mfg. rated Cap.

GROUP 2 - Hydraulic Backhoe and/or similar equipment with Shovel-type Controls, up to 3 cu. yds. Mfg. rated cap.; Front End Loader, 5 cu. yds. & over; Locomotive Crane; Master Mechanic; Tandem Scraper; Tractor - Boom type; & Truck Crane - Crawler Crane

GROUP 3 - Dual Tractor; & Scraper - Struck Cap. 32 cu. yds. & over

GROUP 4 - Bituminous Roller (8 Tons & over); Cat Tractor with Rock Wagon or similar type; Front End Loader, over 1 cu. yd.; Mechanic; Rubber-tired Farm Tractor, Backhoe Attach.; Scraper, up to 32 cu. yds.; Skid Steer Loader, over 1 cu. yd. with Backhoe Attachment; Tractor, Bulldozer; Tractor Operator, over 50 HP with Power Take-off; & Dismantling or Repair Mechanic

GROUP 5 - Bituminous Roller (Under 8 tons); Bituminous Rubber-tired Roller; Front End Loader, up to & incl. 1 cu. yd.; Loader (Barber Greene or similar type); & Tractor Operator, Bulldozer, 50 HP or less

GROUP 6 - Mechanic Tender; Mechanic, Space Heater (Temporary Heat); Roller on Gravel Compaction; Sheep Foot Roller; Tractor, Wheel type (over 50 HP); & Truck Crane Oiler

CRANE OVER 135' BOOM, EXCLUDING JIB - \$ .25 PREMIUM;

CRANE OVER 200' BOOM, EXCLUDING JIB - \$ .50 PREMIUM

UNDERGROUND WORK:

TUNNELS, SHAFTS, ETC. - \$ .25 PREMIUM

UNDER AIR PRESSURE - \$ .50 PREMIUM

HAZARDOUS WASTE PROJECTS (PPE Required):

LEVEL A - \$1.25 PREMIUM

LEVEL B - \$ .90 PREMIUM

LEVEL C - \$ .60 PREMIUM

-----  
IRON0184D 05/01/2000

	Rates	Fringes
JACKSON, LINCOLN, MARTIN, MURRAY, NOBLES, PIPESTONE & ROCK COUNTIES:		

IRONWORKERS	17.46	5.415
-------------	-------	-------

---

IRON0512L 05/01/2000

	Rates	Fringes
BIG STONE, BLUE EARTH, BROWN, CHIPPEWA, COTTONWOOD, DODGE, DOUGLAS, FARIBAULT, FILLMORE, FREEBORN, GOODHUE, GRANT, KANABEC, KANDIYOHI, LAC QUI PARLE, LE SUEUR, LYON, MCLEOD, MEEKER, MILLE LACS, <b>MORRISON</b> , MOWER, NICOLLET, OTTER TAIL, POPE, REDWOOD, RENVILLE, RICE, SIBLEY, STEELE, STEVENS, SWIFT, TODD, TRAVERSE, WABASHA, WADENA, WASECA, WATONWAN, WINONA & YELLOW MEDICINE COUNTIES:		
IRONWORKERS	27.15	9.94

---

IRON0563K 05/01/2000

	Rates	Fringes
AITKIN, BECKER, BELTRAMI, CARLTON, CASS, CLEARWATER, COOK, CROW WING, HUBBARD, ITASCA, KOOSICHING, LAKE, LAKE OF THE WOODS, MAHNOMEN, PENNINGTON, PINE, RED LAKE & ROSEAU COUNTIES:		
IRONWORKERS	22.13	11.35

---

IRON0793E 05/01/2000

	Rates	Fringes
KITTSOON, MARSHALL, NORMAN & WILKIN COUNTIES:		
IRONWORKERS	18.00	8.37

---

LABO9900N 05/01/2000

	Rates	Fringes
AITKIN, BECKER, BELTRAMI, BIG STONE, CASS, CHIPPEWA, CLEARWATER, COTTONWOOD, CROW WING, DOUGLAS, GRANT, HUBBARD, JACKSON, KANDIYOHI, KITTSOON, KOOSICHING, LAC QUI PARLE, LAKE OF THE WOODS, LINCOLN, LYON, MAHNOMEN, MARSHALL, MARTIN, MCLEOD, MEEKER, <b>MORRISON</b> , MURRAY, NOBLES, NORMAN, OTTER TAIL, PENNINGTON, PIPESTONE, POPE, RED LAKE, REDWOOD, RENVILLE, ROCK, ROSEAU, SIBLEY, STEVENS, SWIFT, TODD, TRAVERSE, WADENA, WATONWAN, WILKIN & YELLOW MEDICINE COUNTIES:		
LABORERS:		
Pipelayer	15.34	4.61
Tunnel	15.04	4.61
Flagger	12.34	4.56
BLUE EARTH, BROWN, DODGE, FARIBAULT, FILLMORE, FREEBORN, GOODHUE, LE SUEUR, MOWER, NICOLLET, RICE, STEELE, WABASHA, WASECA & WINONA COUNTIES:		
LABORERS:		
Pipelayer	18.94	5.21
Tunnel	18.64	5.21
Flagger	15.04	5.01
CARLTON, COOK & LAKE COUNTIES:		
LABORERS:		
Pipelayer	20.87	5.56
Tunnel	20.57	5.56
Flagger	16.32	5.31
ITASCA COUNTY:		
LABORERS:		
Pipelayer	20.47	5.96
Tunnel	20.17	5.96
Flagger	16.32	5.31
KANABEC & MILLE LACS COUNTIES:		
LABORERS:		
Pipelayer	17.79	5.31
Tunnel	17.49	5.31
Flagger	13.89	5.11
PINE COUNTY:		
LABORERS:		
Pipelayer	21.74	5.56

Tunnel	21.44	5.56
Flagger	17.04	5.31
-----		
PLUM0006D 08/01/2000		
	Rates	Fringes
DODGE, FARIBAULT, FILLMORE, FREEBORN, GOODHUE (Southern half), MOWER, RICE, STEELE, WABASHA, WASECA & WINONA COUNTIES:		
PIPEFITTERS:		
Mechanical Contracts Up to \$75,000.00	22.00	7.85
All Other Mechanical Contracts	27.51	7.85
-----		
PLUM0011G 05/01/2000		
	Rates	Fringes
CARLTON, COOK (A strip 20 miles inland along the shores of Lake Superior), KANABEC, LAKE (A strip 20 miles inland along the shores of Lake Superior) & PINE COUNTIES:		
PIPEFITTERS	24.40	9.20
-----		
PLUM0126D 11/01/2000		
	Rates	Fringes
AITKIN, BECKER, BELTRAMI, CASS (Southern half), CLEARWATER, CROW WING, DOUGLAS, GRANT, HUBBARD, KITTSON, LAKE OF THE WOODS, MAHNOMEN, MARSHALL, NORMAN, OTTER TAIL, PENNINGTON, RED LAKE, ROSEAU, TRAVERSE, WADENA & WILKIN COUNTIES:		
PIPEFITTERS:		
Total Mechanical Projects up to \$2,000,000.00, excluding Sheet Metal, Fire Protection & Pipe Insulation	24.12	7.78
Total Mechanical Projects of \$2,000,000.00 & Above, excluding Sheet Metal, Fire Protection & Pipe Insulation	26.52	7.78
-----		
PLUM0455E 05/01/2000		
	Rates	Fringes
GOODHUE COUNTY (Northern half):		
PIPEFITTERS	28.73	8.92
-----		
PLUM0455K 05/01/2000		
	Rates	Fringes
BLUE EARTH, BROWN, COTTONWOOD, JACKSON, LE SUEUR, LINCOLN, LYON, MARTIN, MURRAY, NICOLLET, NOBLES, PIPESTONE, REDWOOD, RENVILLE, ROCK, SIBLEY & WATONWAN COUNTIES:		
PIPEFITTERS	22.36	8.61
-----		
PLUM0539F 05/01/2000		
	Rates	Fringes
MCLEOD & MILLE LACS COUNTIES:		
PIPEFITTERS	26.35	11.28
-----		
PLUM0539K 05/01/2000		
	Rates	Fringes
BIG STONE, CHIPPEWA, KANDIYOHI, LAC QUI PARLE, MEEKER, <b>MORRISON</b> , POPE, STEVENS, SWIFT, TODD & YELLOW MEDICINE COUNTIES:		
PIPEFITTERS	22.04	11.83
-----		
PLUM0589D 06/01/2000		
	Rates	Fringes
CASS (North of a parallel line drawn from the northern boundary of Crow Wing County, west to the east boundary of Wadena County), COOK (Except a strip 20 miles inland along the shores of Lake Superior), ITASCA & LAKE (Except a strip 20 miles inland		

along the shores of Lake Superior) COUNTIES:

PIPEFITTERS	22.04	10.97
KOOCHICHING COUNTY:		
PIPEFITTERS	23.29	10.97

SUMN2001B 07/08/1994

	Rates	Fringes
CARPENTERS	13.73	2.55
LABORERS:		
Unskilled	12.33	3.18
Landscape Work	5.15	
PAINTERS, Steel	19.42	4.72
POWER EQUIPMENT OPERATORS:		
Dragline	13.41	3.95
Grader	12.03	2.84

WELDERS - Receive rate prescribed for craft performing operation to which welding is incidental.

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR 5.5(a)(1)(v)).

In the listing above, the "SU" designation means that rates listed under that identifier do not reflect collectively bargained wage and fringe benefit rates. Other designations indicate unions whose rates have been determined to be prevailing.

#### WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- \* an existing published wage determination
- \* a survey underlying a wage determination
- \* a Wage and Hour Division letter setting forth a position on a wage determination matter
- \* a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations  
Wage and Hour Division  
U. S. Department of Labor  
200 Constitution Avenue, N. W.  
Washington, D. C. 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator  
U.S. Department of Labor  
200 Constitution Avenue, N. W.  
Washington, D. C. 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the

requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board  
U. S. Department of Labor  
200 Constitution Avenue, N. W.  
Washington, D. C. 20210

4.) All decisions by the Administrative Review Board are final.

END OF GENERAL DECISION





## General Decision Number IL010019

---

General Decision Number IL010019

Superseded General Decision No. **IL000019**

State: **Illinois**

Construction Type:

DREDGING

Dredging Construction Projects: Dredging the following rivers and their tributaries, the Kasakaski River from the mouth to Fayetteville, **Illinois**; **Illinois** River; Minnesota River; Mississippi River and the Ohio River.

Modification Number      Publication Date

0      03/02/2001

1      03/09/2001

\* SUIL2002A 01/01/2001

	Rates	Fringes
Within the geographical jurisdiction of the St. Louis District, Corps of Engineers:		
Levermen, Engineer, Mechanic and Boatman	20.45	10.80
Oiler	18.47	10.80

### AREA 2

Within the geographical jurisdiction of the Louisville District, Corps of Engineers:		
Levermen, Engineers, Mechanic and Boatman	22.14	10.80
Oiler	18.37	10.80

### AREA 3

Within the geographical jurisdiction of the Huntington District, Corps of Engineers:		
Levermen, Engineer, Mechanic, and Boatman	23.01	10.80
Oiler	17.87	10.80

### AREA 4

Within the geographical jurisdiction of the St. Paul, Rock Island, and Chicago Districts, Corps of Engineers:		
Levermen, Engineer, Mechanic, and Boatman	21.30	9.05
Oiler	18.07	9.05

Leverman, operators on backhoes over 168,000 lbs., operators on cranes over 165 tons, and operators that required to have a license or certification to the work	22.96	10.80
--	-------	-------

-----  
Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR 5.5(a)(1)(v)).  
-----

In the listing above, the "SU" designation means that rates listed under that identifier do not reflect collectively bargained wage and fringe benefit rates. Other designations

indicate unions whose rates have been determined to be prevailing.

WAGE DETERMINATION APPEALS PROCESS

1.) Has there been an initial decision in the matter? This can be:

- \* an existing published wage determination
- \* a survey underlying a wage determination
- \* a Wage and Hour Division letter setting forth a position on a wage determination matter
- \* a conformance (additional classification and rate) ruling

On survey related matters, initial contact, including requests for summaries of surveys, should be with the Wage and Hour Regional Office for the area in which the survey was conducted because those Regional Offices have responsibility for the Davis-Bacon survey program. If the response from this initial contact is not satisfactory, then the process described in 2.) and 3.) should be followed.

With regard to any other matter not yet ripe for the formal process described here, initial contact should be with the Branch of Construction Wage Determinations. Write to:

Branch of Construction Wage Determinations  
Wage and Hour Division  
U. S. Department of Labor  
200 Constitution Avenue, N. W.  
Washington, D. C. 20210

2.) If the answer to the question in 1.) is yes, then an interested party (those affected by the action) can request review and reconsideration from the Wage and Hour Administrator (See 29 CFR Part 1.8 and 29 CFR Part 7). Write to:

Wage and Hour Administrator  
U.S. Department of Labor  
200 Constitution Avenue, N. W.  
Washington, D. C. 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board  
U. S. Department of Labor  
200 Constitution Avenue, N. W.  
Washington, D. C. 20210

4.) All decisions by the Administrative Review Board are final.

END OF GENERAL DECISION



ATTACHMENT C

MNDOT PERMIT



Mn/DOT TP-172 (3-90)

**MINNESOTA DEPARTMENT OF TRANSPORTATION**  
**APPLICATION FOR INSTALLATION OF UTILITIES OR**  
**MISCELLANEOUS WORK ON TRUNK HIGHWAY**  
**RIGHT OF WAY**



TH 10 TH 371  
 C.S. 4902 4912 T.H. 10 and 371  
 R.P. TH 10-143.5 to 144.0, TH 371-0.3 to 1.0  
 District 3A Permit # 3A401-5(s) COE  
 (DO NOT COMPLETE THIS SECTION. FOR OFFICE USE ONLY.)

**ATTACH A SKETCH OF THE PROPOSED WORK AND RELATION TO TRUNK HIGHWAY. SUCH SKETCH SHALL BE DRAWN TO SCALE WHEN REQUIRED BY THE ENGINEER. PRINT OR TYPE APPLICATION. SIGN IN SPACE PROVIDED. SUBMIT TO LOCAL OFFICE OF MINNESOTA DEPARTMENT OF TRANSPORTATION.**

APPLICANT		TELEPHONE	ADDRESS (Street, City, State, Zip)
X		X	X
PARTY PERFORMING WORK		TELEPHONE	ADDRESS (Street, City, State, Zip)
X		X	X
LOCATION OF PROPOSED WORK (CIRCLE ONE) (SPECIFIC ROAD, LANDMARK, OR ROAD INTERSECTION)			
Highway 10 + 371 in Morrison County Mile (N) S-E-W of Little Falls			
NATURE OF WORK			
① Dredging pipeline to be placed on Mn/DOT R/W as per Corps of Engineer plans.			
② Possible river access staging area on eastbound TH 10, R.P. 143.78, southwest corner of			
SURFACE OR SHOULDER TO BE DISTURBED (Check Appropriate Boxes) <input type="checkbox"/> Roadway <input type="checkbox"/> Gravel <input type="checkbox"/> Concrete <input checked="" type="checkbox"/> Shoulder <input checked="" type="checkbox"/> Bituminous <input type="checkbox"/> None			
DEPTH OF EXCAVATION BELOW SURFACE	NUMBER & SIZE OF EXCAVATIONS	METHOD OF INSTALLATION/CONSTRUCTION	
n/a	n/a	n/a	
WORK TO START ON (Date)	TIME REQUIRED TO COMPLETE WORK	IS TRAFFIC DETOUR NECESSARY? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
X	X	(IF YES, TRAFFIC CONTROL PLAN IS REQUIRED.)	

I, We, the undersigned, herewith accept the terms and conditions of the regulations of the Commissioner of Transportation and agree to fully comply therewith to the satisfaction of the Minnesota Department of Transportation. It is agreed that no work in connection with this application will be started until the application is approved and the permit issued. It is further understood that this permit is issued subject to the approval of local city, village or borough authorities having joint supervision over said street or highway and subject to applicant's compliance with the rules and regulations of the Minnesota Environmental Quality Board and any other affected governmental agencies.

Furthermore, except for negligent acts of the State, its agents and employees, the applicant or his agents or contractor shall assume all liability for, and save the State, its agents and employees, harmless from, any and all claims for damages, actions or causes of action arising out of the work to be done herein and the continuing usage, constructing, reconstructing, maintaining and using of said utility under this application and permit for construction.

X \_\_\_\_\_  
 Date

X \_\_\_\_\_  
 Signature of Applicant

DO NOT WRITE BELOW THIS LINE

PERMIT NOT VALID UNLESS  
 BEARING SIGNATURE AND NUMBER

**AUTHORIZATION OF PERMIT**

SEE REVERSE SIDE FOR PERTINENT  
 REGULATIONS AND LIMITATIONS

It is especially understood that this permit is conditioned upon replacement or restoration of the trunk highway to its original condition or to a satisfactory condition. In consideration of the applicant's agreement to comply in all respects with the regulations of the Commissioner of Transportation covering such operations, permission is hereby granted for the work to be performed as described in the above application, said work to be performed in accordance with special provisions as hereby stated:

\* SEE ATTACHED SPECIAL PROVISIONS

All Work To Be Completed By \_\_\_\_\_  
 Date

**MINNESOTA DEPARTMENT OF TRANSPORTATION**

Date		Authorized Signature	
DISTRIBUTION	DEPOSIT REQUIREMENTS	DEPOSIT TYPE	
<input type="checkbox"/> Original to Applicant	<input type="checkbox"/> No Deposit Required	Cashier's Check # _____	
<input type="checkbox"/> Area Maintenance Engineer	<input checked="" type="checkbox"/> Deposit Required in the Amount of \$25,000 - 50,000	Certified Check # _____	
<input type="checkbox"/> Subarea Supervisor	Date Deposit Received _____	Money Order # _____	
<input type="checkbox"/> Roadway Regulations Supervisor	Deposit to be returned upon satisfactory completion of all work.	Bond # _____	

## EXPLANATION

This application form shall be used for installations of utility service connections that do not cross the trunk highway roadbeds, for miscellaneous guys and anchors, and for placing temporary obstructions on the highway right of way.

Utility applications for overhead and underground installations and extensions thereto shall be made on Form 2525 and submitted to the Utilities and Agreements Engineer, State Transportation Building for issuance.

## PERTINENT REGULATIONS

### Safety

1. Signs, channelizing devices, warning lights, and barricades shall be erected to protect traffic, employees, and pedestrians. All traffic control devices and methods shall conform to the Minnesota Manual on Uniform Traffic Control Devices (MMUTCD), Minnesota Standard Sign Manuals Parts I, II, and III and the appropriate provisions of Standard Specification 1710.
2. If work to be done lies within a municipality or platted town, permission must be obtained from such village, town, or city.
3. Excavations must be cribbed when necessary, depending upon type of soil, in order to prevent cave-ins.
4. No guys or stays or any structure are to be attached to trees on trunk highway right of way.
5. Underground construction must be so constructed as not to harm or unnecessarily destroy the root growth of specimen trees.

## PERTINENT REGULATIONS

### Roadway

1. Installation of pipe under concrete or high type of bituminous pavements shall be done by jacking or boring or other approved methods.
2. When open trenching or excavating in existing roadways, all subgrade, base, and surfacing materials shall be replaced with the same type and like kind of materials which were removed.
3. All backfill must be placed in 6" or less layers and thoroughly tamped and material must be flush and even with the adjacent surface when finally in place.
4. If pavement or roadway is damaged, same shall be restored to original condition.
5. All pavements shall be replaced in accordance with State specifications.
6. If settlement occurs or excavation caves in so that replaced materials settle (bituminous mat or concrete base), same shall be restored to its original condition.
7. No poles, anchors, anchor braces, or other construction shall be placed on the roadway shoulder or within the prescribed clear zone, except by permit authorization.
8. No driving onto highway from ditch or driving on shoulders where damage will occur.
9. No foreign material such as dirt, gravel, or bituminous material shall be left or deposited on the road during any construction activities.

## LIMITATIONS

1. No lugs shall be used on equipment traversing road which will damage the road surface.
2. Roadside shall be cleaned up upon completion of all work.
3. If Department of Transportation shall make any improvements or change on all or any part of its right of way upon, over, under, or along the highway, then and in every case the applicant herein named shall after notice from the Commissioner of Transportation or his authorized agents proceed to alter, change, vacate, or remove from trunk highway right of way said works necessary to conform with said changes without cost whatsoever to the State of Minnesota.
4. Drainage on the trunk highway right of way shall be done under Form 30795-02 available at the District/Area Maintenance office.
5. After work on a project is completed said persons doing such work must notify the Maintenance Engineer in which district the work is being performed that such work has been completed and ready for final inspection and acceptance by the State of Minnesota.
6. Cutting and trimming of trees within the right of way and removal of resulting stumps require prior approval of the Maintenance Engineer or his authorized representative.

**NOTE:** Certified Check or Bond may be required to insure proper restoration of highway surfaces and to cover payment for any damage to highways or State property. Additionally, any expense incurred by the Minnesota Department of Transportation above the posted deposit will be assessed against the applicant. In the event that the construction has not been started by this date, this permit becomes null and void and deposit refunded.

**SPECIAL PROVISIONS FOR MN/DOT MISCELLANEOUS WORK PERMIT #3AU01-5(s)  
ARMY CORPS OF ENGINEERS DREDGING WORK ON MISSISSIPPI RIVER IN LITTLE FALLS**

Listed below are Mn/DOT requirements for any work done on or use of Mn/DOT Right of Way (R/W) as part of this Corps dredging project. Any Mn/DOT Specifications referenced are from the 2000 edition of Mn/DOT's Standard Specifications for Construction:

1. Contractor must furnish proof of a General Liability Insurance Policy, minimum amount of coverage \$1,000,000, to Mn/DOT. The policy must cover all potential Trunk Highway (T.H.) 10, bridge, and R/W issues that could arise from any conflict between the planned work on the R/W and the public's use and safety on the highway corridor.

2. A bond or deposit of \$50,000 (Certified Check, Cashiers Check, or Money Order, made payable to the Commissioner of Transportation) must be submitted to Mn/DOT prior to issuance of the permit (this deposit may be reduced to \$25,000 if the contractor elects not to use the proposed staging area off of T.H. 10 - see items 3 through 7). This is to cover potential road and shoulder damage, R/W damage, turf and tree restoration, spills, cleanup, temporary ramping over pipe and removal, entrance construction and removal, etc. This deposit will be returned upon satisfactory completion and restoration of all affected areas on the R/W.

**\*\*Items 3 thru 7 are related to proposed staging area off of T.H. 10 on the southwest corner of the bridge, and all items and costs are the responsibility of the contractor.**

3. Prior to staging area use, contractor is required to remove the in-place EB 10 foot bituminous shoulder (exact location of removal area will be determined by Mn/DOT, total length depends on contractor's desired entrance plan and what Mn/DOT will approve, could be up to 500 feet of removal length). Removal includes sawcutting bituminous shoulder along lane edge line and at each end of removal area, and proper disposal of the bituminous off the R/W as per Mn/DOT Specification 2104. The gravel shoulder will be cut down to a depth of 1 foot below edge of adjacent roadway, and a new 12 foot wide paved shoulder will be constructed with 6" Class 5 aggregate base covered with 6" of bituminous. Mn/DOT will provide construction specifications and material requirements, and reserves the right to test the materials for compliance to Mn/DOT Specifications. This new shoulder will be used as a right turn lane to the staging area but will not be striped as a turnlane. Proper traffic control as per January 2001 Field Manual (MN Manual on Uniform Traffic Control Devices) must be used during shoulder construction (lane closure, barrels, cones, etc.). This shoulder will be allowed to remain in-place after work is completed, subject to repair of any damage.

4. Contractor could be held responsible for any restriping costs if existing highway striping is damaged by work on or use of staging area.

5. One "Road Work Ahead" (W20-1, 48" x 48") sign and one "Trucks Entering" (W11-X3, 48" x 48") sign must be provided by the contractor and installed on ground installed signposts along EB roadway at locations to be determined by Mn/DOT.

6. Temporary entrance(s) to staging area must be constructed to Mn/DOT specifications (will be provided by Mn/DOT) with 6:1 sideslopes, gravel top, temporary erosion control, etc. Entrances must be removed and area restored to natural condition upon completion of work.

7. Trees and turf in staging area will be reviewed by Mn/DOT prior to start of work. Temporary fencing and other provisions may be required to protect trees, and Mn/DOT's Forester will be involved in protection, damage or replacement issues. All disturbed turf must be properly restored with topsoil, seed and erosion protection as needed.

8. Dredging pipeline placed on the R/W:

- Pipe must be placed in far edge of ditch or on backslopes and meet Mn/DOT clear zone requirements (approx. 50-60 feet from roadway edge line in tangent sections, it varies with grade of inslope and on curves, will be determined by Mn/DOT at time of placement).

- Temporary ramping over pipe must be done in some areas as directed by Mn/DOT to minimize run off road accident severity potential and allow for ATV, Mn/DOT maintenance, and utility company access to R/W.

- Trees and turf along pipeline route will be reviewed by Mn/DOT prior to start of work.

Temporary fencing and other provisions may be required to protect trees, and Mn/DOT's Forester will be involved in protection, damage or replacement issues. All disturbed turf must be properly restored with topsoil, seed and erosion protection as needed.

- No intermediate pumping stations, generators, or other pipeline support equipment can be placed on the R/W within clear zones.

- Proper traffic control (lane or shoulder closure setups) must be in place if any pipeline laying operations are done from the highway.

9. 24 hour contact names and a spill/emergency plan that protects the highway and traffic due to any spill, break, or other emergency situation, must be provided to Mn/DOT.

10. The bridge must be protected from impacts from all dredging and construction operations. Mn/DOT's Bridge Supervisor will be monitoring activity and must be consulted on any work near bridge.

11. Mn/DOT reserves the right to review potential drainage impacts from the pipe placed thru our culverts. Field changes may be required once the pipe sizes and placement route are finalized.

12. No company equipment or materials, workers vehicles, field offices, etc., can be stored or parked on the R/W.

13. No temporary highway entrances, other than to the proposed staging area, will be allowed.

14. Mn/DOT contact will be Ken Larson, Maintenance Permits, 218-828-2469. Traffic control questions can be directed to Dave Buss, Traffic Operations Supervisor, 218-828-2473.

Contact Ken Larson if there are any questions. Mn/DOT will listen to any contractor ideas or proposals for access or pipeline work, as long as highway safety is maintained and there is no potential for structural damage to the highway or bridge. One item that is not negotiable is the requirement for proper traffic control, by the book, for all operations done from the highway. The correct traffic control measures will be enforced.

ATTACHMENT D

AGREEMENT FOR DISPOSAL OF DREDGED MATERIAL

## **AGREEMENT FOR DISPOSAL OF DREDGED MATERIAL**

Bruce and Gail Geyer (hereinafter "Owners") and the United States of America, by and through the Department of the Army, Army Corps of Engineers (hereinafter "Government") agree as follows:

WHEREAS, the Government, acting through its Corps of Engineers, has need to dispose of dredged material from a proposed project in Little Falls, Minnesota; and

WHEREAS, the parties hereto have identified a certain gravel pit owned by the Owners and land as being a suitable place for deposition of said dredged materials; and

WHEREAS, the parties hereto have identified certain lands owned by the Owners that can be used to place 2 feet of top cover on said dredged material; and

WHEREAS, the parties hereto have identified the locations for monitoring wells to be placed on certain lands owned by the Owners to determine contamination levels, if any, of the groundwater; and

WHEREAS, subject to the terms and conditions of this Agreement, the Owners are willing to accept the disposal of said dredged materials in their gravel pit; and

WHEREAS, the Government agrees to these terms and conditions.

NOW, THEREFORE THIS AGREEMENT:

1. Location of gravel pit in which dredged material is to be placed, borrow area for cover material and monitoring wells: Owners' real estate identified as being in southeast corner of Section 26, Township 41 North, Range 32 West, Morrison County, Minnesota.

2. Nature of fill activities.

a. The Government and/or its contractor shall, as discussed with the Owners and as generally shown on the attached map, fill the gravel pit and cover the dredged material with soil from another area of Owners' property identified on attached map.

b. The Government shall comply with all laws and ordinances, and all rules and regulations of all authorities having jurisdiction over the Government and the work being done, the premises and the use thereof relative to any Hazardous Substances as defined in the Comprehensive Environmental Response, Compensation and Liability Act of 1980 ("CERCLA"), 42 U.S.C. Section 9601-9675, as amended or other federal law. No toxic or Hazardous Substances or wastes, pollutants or contaminants, including, without limitation, urea, asbestos, formaldehyde, the group of organic compounds known as polychlorinated biphenyls, petroleum products including gasoline, fuel oil, crude oil, and various constituents of such products shall be generated, treated, stored, released or disposed of, or otherwise placed, deposited in or located on the premises by the Government.

c. To the fullest extent permitted by law, the Government shall be liable to the Owners, its successors and assigns, for any loss and/or damage arising from and caused by the Government's

placement of dredged material upon the Property, insofar as such loss, damage and/or cause of action is based upon RCRA, CERCLA or any other environmental statute, regulation and/or cause. This paragraph 2c is further qualified only to the extent that liability of the Government hereunder is subject to the availability of appropriations for such payments, and appropriate funds sufficient to meet any deficiencies. The foregoing qualifications notwithstanding, it is not intended hereby to in any way restrict, limit and/or diminish such liability of the Government as may be provided for under the provisions of RCRA and/or CERCLA. The provisions of this paragraph shall survive the termination of this Agreement.

d. The provisions of this paragraph are without prejudice to any right the Owner may have to make a claim under applicable laws for any damages other than those provided herein, including but not limited to the Federal Tort Claims Act (28 U.S.C. 2671, et seq.), the Tucker Act (28 U.S.C. 1491 (a) (2)), CRCA, CERCLA, or any other applicable waiver of the Government's sovereign immunity. The Grantor shall also be entitled to any other remedies which may be available to it by law such as writs of mandamus, injunction, or review of agency action under the Administrative Procedure's Act (5 U.S.C. 702, et seq.).

3. Responsibility for site. At all times during the process of removing dredge material from the Mississippi River, their transportation to the identified gravel pit and their disposal into said gravel pit, the Government contractor shall indemnify the Owners against any and all losses, injuries, property damage, claim and cost of defense that may result from injuries or property damage sustained as a result of acts of intent or acts of negligence engaged in by the Government's contractor during the course of either the transportation of dredged material from the Mississippi River to the identified gravel pit or as result of the filling of said gravel pit. To this extent, additionally, the Government's contractor shall provide to the Owners a Certificate of Insurance, naming the Owners as additional insureds, in an amount not less than \$1,000,000.00 as and for liability insurance coverage relative to its use of the described site.

4. Finishing of site. The Government's contractor shall be responsible for finishing off the site and dressing the dredged material stated in the Little Falls Channel Excavation Project, Plans and Specifications. In addition, during the time span of the deposition of dredge material in the identified gravel pit, it shall be the responsibility of the Government's contractor to take all reasonable precautions and measures to prevent erosion from occurring and/or to prevent unnecessary ponding or flowage of surface waters over and across real estate owned by third parties adjacent to either the pipeline or the site of the gravel pit itself.

5. Permits to be obtained by Government. The Government and/or its contractor shall be solely responsible for obtaining all local, county, State and Federal permits required for it to engage in the described dredged material removal, transportation and deposition project.

6. Monitoring wells. The locations of monitoring wells have been coordinated with the Owners and are shown on the attached map. Wells will be installed before dredged material is placed; they will be removed within 1 year after the dredged material is covered.

6. Time period of projected dredge material placement project. The Owners hereby grant to the Government an irrevocable right to enter upon the lands hereinafter described at any time within a

period of thirty-six (36) months from the date of this instrument. The Owners shall then perform a final inspection of the described premises for the purpose of ascertaining whether or not the Government and/or its contractor have complied with the terms of this Agreement.

7. Notices. Notices under this Agreement shall be sent by U.S. Mail or delivered personally to the following representatives of the parties hereto:

To the Owners:        Bruce and Gail Geyer  
                             18013 Ginger Road  
                             Little Falls, MN 56345

To the Government:   U.S. Army Corps of Engineers  
                             Attn: CENCS-RE  
                             190 Fifth Street East  
                             St. Paul, MN 55101-1638

9. Laws of Minnesota to govern. This Agreement shall be governed by the laws of Minnesota, both as to interpretation and application.

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

By: \_\_\_\_\_  
Bruce Geyer

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

By: \_\_\_\_\_  
Gail Geyer

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

By: \_\_\_\_\_  
Mark W. Nelson  
Chief, Real Estate Division



SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01000

GENERAL

PART 1 GENERAL

- 1.1 ORGANIZATION OF SPECIFICATIONS
- 1.2 REFERENCES
- 1.3 SUBMITTALS
- 1.4 PERMITS
- 1.5 MEASUREMENT AND PAYMENT

PART 2 PRODUCTS

- 2.1 APPROVAL OF MATERIALS OR ALTERNATES

PART 3 EXECUTION

- 3.1 GROUNDS AND ROADWAYS
  - 3.1.1 Availability of Grounds
  - 3.1.2 Drainage Facilities
  - 3.1.3 Roadways
    - 3.1.3.1 Traffic hazards
    - 3.1.3.2 Haul routes
- 3.2 DISPOSAL OF DEBRIS AND WASTE
  - 3.2.1 Disposal offsite for useful purposes
  - 3.2.2 Disposal in a locally operated sanitary landfill
  - 3.2.3 Disposal of Solid Construction Debris and Waste
- 3.3 EXISTING UTILITIES
  - 3.3.1 General
  - 3.3.2 Buried Utilities
  - 3.3.3 Interruption of Services
  - 3.3.4 Minnesota One Call Excavation Notice System
- 3.4 SCHEDULING
  - 3.4.1 General
  - 3.4.2 Notification
  - 3.4.3 Work in River
  - 3.4.4 Noise Restrictions
- 3.5 CONSTRUCTION RESTRICTIONS
  - 3.5.1 Clean Up
  - 3.5.2 Blasting
  - 3.5.3 Protection of Trees
    - 3.5.3.1 Restoration of Damaged Trees
  - 3.5.4 Pavement Removal and Replacement
  - 3.5.5 Access
- 3.6 COFFERDAMS
  - 3.6.1 Channel Plug for Dredging

- 3.6.2 Control of Sedimentation
- 3.6.3 Construction
- 3.7 DEWATERING OPERATIONS
  - 3.7.1 Scope
  - 3.7.2 Requirements
    - 3.7.2.1 Design
    - 3.7.2.2 Regulations
    - 3.7.2.3 Removal
  - 3.7.3 Liability
  - 3.7.4 Related Work
- 3.8 FLOATING PLANT
  - 3.8.1 Equipment and Personnel
  - 3.8.2 Navigable Waters
  - 3.8.3 Sewage and Bilge Water Disposal
- 3.9 SURVEYS
  - 3.9.1 Field Layout
    - 3.9.1.1 Alignment Changes
  - 3.9.2 Quantity surveys

-- End of Section Table of Contents --

## SECTION 01000

### GENERAL

#### PART 1 GENERAL

The Contractor has the option of selecting the method(s) for excavation and transportation of dredge material. Hydraulic dredging, mechanical dredging, and constructing cofferdams with a dewatered channel excavation are options. A cofferdam to contain the excavation downstream of the Highway 10 bridge is not considered feasible. The disposal area is capped to prevent germination of harmful exotic plant species, particularly purple loosestrife.

##### 1.1 ORGANIZATION OF SPECIFICATIONS

The specifications which govern the materials and equipment to be furnished and the work to be performed under this contract are listed in the Table of Contents. No attempt has been made in the specifications to segregate work to be performed by any trade, craft, or subcontractor. Any segregation between the trades or crafts shall be solely a matter for agreement between the Contractor, Contractor's employees, and subcontractors.

##### 1.2 REFERENCES

Reference to the standards, specifications, or codes of any technical society, organization, or association, or local, state, or Federal authority shall mean the specific edition or revision listed.

##### 1.3 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

###### SD-01 Preconstruction Submittals

###### Dewatering Plan;

A dewatering plan shall be submitted for each area or phase of the contract where wells, wellpoints, or related systems are required. The plan shall include the following items:

1. layout (including the relationship to site improvements and construction operations)
2. type, sizes, depth and spacing of dewatering devices
3. number and capacity of pumps

4. removal and abandonment plans for dewatering devices

Dewatering Water Return Plan;

A description of plans to control water turbidity from all dewatering and unwatering operations shall be submitted. The plan shall include the following items:

1. number and capacity of pumps
2. sump locations and size
3. description of discharge point (weirs, sedimentation basin size and locations, etc.)
4. removal and abandonment plans for sedimentation basins

Cofferdams;

The plan for construction of cofferdams shall indicate staging areas, traffic control plans, equipment to be used, material sample and source to be used as fill, and sequencing of construction. The submittal requirements are described in PARAGRAPH: COFFERDAMS.

SD-11 Closeout Submittals

Utility As-Builts;

The Utility As-Builts are described under PARAGRAPH: SURVEYS.

#### 1.4 PERMITS

The Corps has received Section 401 water quality certification; documentation can be obtained through the District Engineer.

The Corps submitted a comity permit to the Minnesota Pollution Control Agency for Dredge Material Disposal as part of the National Pollutant Discharge Elimination System/State Disposal System Permit; documentation can be obtained through the District Engineer.

The Contractor shall obtain a right-of-way permit from the Minnesota Department of Transportation (MNDOT) prior to work in the Highway 10 right of way, and comply with all terms and conditions of that permit. A partially completed right-of-way permit is attached in Section 00830, and the Minnesota Department of Transportation has provided special provisions.

The Contractor may use that permit by signing it and obtaining a counter signature from MNDOT. MNDOT has agreed to execute the prenegotiated permit within 15 days of the receipt of a completed permit application and receipt of deposit/bond from the Contractor. Alternatively, the Contractor may, at its own risk and expense, elect to apply for a separate permit from MNDOT. No adjustment in contract price or completion date will be made for any increased costs or delays associated with obtaining, or operating under the terms and conditions of, a separate permit.

#### 1.5 MEASUREMENT AND PAYMENT

The Contractor shall be responsible for the work of this section, without any direct compensation being made other than the payment received for contract line items on the bidding schedule.

## PART 2 PRODUCTS

### 2.1 APPROVAL OF MATERIALS OR ALTERNATES

Requests for approval of materials and products, or substitutes thereof, will not be considered prior to award of the contract.

## PART 3 EXECUTION

### 3.1 GROUNDS AND ROADWAYS

#### 3.1.1 Availability of Grounds

The boundary limits of the grounds made available for the Contractor's use during the life of the contract are shown on the drawings. Any additional rights-of-way or grounds desired by the Contractor shall be obtained by the Contractor at its own expense, and copies of agreements for the use of such rights-of-way shall be furnished to the Contracting Officer before entering thereon. Such agreements shall clearly relieve the Government of any responsibility for damages resulting from the use of the grounds.

#### 3.1.2 Drainage Facilities

Insofar as natural drainage from the protected areas is obstructed by contract operations, it shall be the Contractor's responsibility to make adequate provision for accommodating such drainage in a satisfactory manner during the life of this contract, either by temporary means or by use of the permanent construction and operation of the permanent facilities.

#### 3.1.3 Roadways

##### 3.1.3.1 Traffic hazards

When continuous haul operations or other condition created by the Contractor's operations result in interference or hazard to traffic on streets and highways, beyond that of ordinary public usage, the Contractor shall erect warning signs and provide flagging services as necessary to safeguard the public as required in SECTION 01500: TEMPORARY CONSTRUCTION FACILITIES.

##### 3.1.3.2 Haul routes

The Contractor shall be responsible for securing all permits required along haul routes. The Contractor shall be the sole permittee and shall be responsible for meeting all obligations of the permits. A copy of each permit shall be submitted to the Contracting Officer. The Contractor, as between the Government and the Contractor, has sole responsibility for damage or deterioration of the Contractor's haul routes. Dust control

shall be provided as stated in SECTION 01355: ENVIRONMENTAL PROTECTION.

### 3.2 DISPOSAL OF DEBRIS AND WASTE

The Contractor's attention is directed to SECTION 01355: ENVIRONMENTAL PROTECTION and to the following CONTRACT CLAUSES: PERMITS AND RESPONSIBILITIES; PROTECTION OF EXISTING VEGETATION, STRUCTURES, UTILITIES, EQUIPMENT, AND IMPROVEMENTS; OPERATIONS AND STORAGE AREAS; and CLEANING UP. Burning will not be permitted at the project sites and debris or waste shall not be left on the sites. Disposal of clearing and grubbing debris shall be by one of the following methods:

#### 3.2.1 Disposal offsite for useful purposes

In the interest of conservation, it is required that the Contractor make a reasonable effort to dispose of the material offsite for some useful purpose. Timber may be cut into convenient lengths and utilized for making saw logs, posts, cord wood, wood chips for paper making or other uses, or other similar use.

#### 3.2.2 Disposal in a locally operated sanitary landfill

Contractor shall select the disposal site with the approval of the Contracting Officer. The Contractor shall secure the required permits for disposal and provide copies of the permit to the Contracting Officer.

#### 3.2.3 Disposal of Solid Construction Debris and Waste

Disposal of Solid Construction Debris and Waste shall consist of removal from Government property and disposal in compliance with Federal, state, and local requirements for solid waste disposal. Contractor shall select the disposal site with the approval of the Contracting Officer.

### 3.3 EXISTING UTILITIES

#### 3.3.1 General

The Contractor shall coordinate all utility relocation requirements and make payment to the utility companies for all services, fees, and permits required to relocate and reestablish service. The Contractor shall be responsible for all costs related to protecting existing utilities.

#### 3.3.2 Buried Utilities

The approximate locations of known existing buried utilities are shown on the drawings to the extent of available information at the time the drawings were prepared. (In general, no service connections are shown.) Prior to commencing excavation, the Contractor shall accurately locate all such installations. In the event the Contractor damages any existing utility lines, report thereof shall be made immediately to the Contracting Officer. If the Contracting Officer determines that repairs shall be made by the Contractor, such repairs shall be performed immediately.

#### 3.3.3 Interruption of Services

Utility services shall not be interrupted except for brief periods to facilitate cut-ins. The Contractor shall provide temporary service and shall relocate existing utilities as required to construct the work shown and insure uninterrupted service. If interruption of services is unavoidable, the Contractor shall request approval in writing at least 30 calendar days prior to the proposed interruption. This submittal shall fully describe all details of proposed interruption and the reasons why alternatives are not feasible. The Contractor shall further coordinate with the owner of the utility and notify affected consumers at least 10 calendar days in advance of interruption of services. The Contracting Officer will not in general approve proposals which require interruption of services for more than 4 continuous hours.

#### 3.3.4 Minnesota One Call Excavation Notice System

For contract work performed within the State of Minnesota, the Contractor shall meet the requirements of Minnesota Statutes, Chapter 216D "One Call Excavation Notice System." The Gopher State One Call notification center telephone numbers are:

Metro area	(651) 454-0002
Outstate	(800) 252-1166

### 3.4 SCHEDULING

#### 3.4.1 General

It shall be the responsibility of the Contractor to schedule and execute the work, incorporating the necessary requirements set forth in these specifications. The Contractor shall develop and submit a schedule in accordance with CONTRACT CLAUSE: SCHEDULES FOR CONSTRUCTION CONTRACTS.

#### 3.4.2 Notification

The Contractor shall inform the Government in writing within 5 days after receipt of notice to proceed and before work begins as to which hours of the day and days of the week work under this contract will be performed. The Contractor shall notify the Government at least 24 hours before work is to be conducted on overtime, in multiple shifts, on weekends, or on Federal Government holidays.

#### 3.4.3 Work in River

The work in the river channel shall be limited to the period between 15 June and 15 September to minimize detrimental effects on fish.

For purposes of establishing accurate monitor well background information, hydraulic placement of dredge material at the placement site prior to 30 June 2001 will not be allowed.

#### 3.4.4 Noise Restrictions

Truck traffic at the channel excavation site and the disposal site shall be

limited to the hours between 7 AM to 6PM, Monday through Friday; and 9 AM to 6 PM on Saturday.

### 3.5 CONSTRUCTION RESTRICTIONS

#### 3.5.1 Clean Up

Purple loosestrife is present at the excavation site. As such, construction practices shall take reasonable precautions to minimize spills of excavated material outside of the excavation and disposal areas. Any material lost or spilled in transit shall be recovered and transported to the disposal area.

#### 3.5.2 Blasting

Blasting will not be permitted.

#### 3.5.3 Protection of Trees

Trees to be protected shall be determined and staked by the Contracting Officer. The following measures shall be implemented for tree protection and shall be addressed in the Environmental Protection Plan required under SECTION 01355:

- a. The trees shall be protected from wounds to the bark and foliage.
- b. The critical root zone shall be protected from compaction and grading.
- c. Changes in temporary site drainage and ponding shall be minimized to the extent possible that it effects the protected trees.

The critical root zone of trees designated to be protected shall be surrounded by a high visibility fence 4 feet in height, supplied and erected by the Contractor. The critical root zone shall be defined by an area extending 1.5 feet radius from each tree for each inch of Diameter at Breast Height (DBH). The fence shall be securely erected and installed prior to any movement through the project site by construction vehicles or equipment, and remain in place until construction and clean-up are completed. The critical root zone shall remain free of all construction activities including trenching, staging, stockpiling and storage of materials. Vehicles and equipment shall not drive or park within the critical root zone. Variation to the critical root zone size or configuration will only be permitted where it is absolutely necessary for construction of the project, and requires approval of the Contracting Officer. Short duration alterations of the critical root zone involving wood chips and limited equipment travel shall be submitted in writing for approval.

The Contractor shall not operate equipment in vegetated areas outside the work limits.

##### 3.5.3.1 Restoration of Damaged Trees

Any existing tree designated to be protected that is damaged by the Contractor's operations shall be replaced. Trees will be considered



damaged if the critical root zone in cohesive soils is compacted, if there are significant wounds that could contribute to rot, or if distress (evident by reduced growth or other observations of distress documented by a forester) is observed prior to closing the contract. Trees shall be replaced in kind on a caliper inch per caliper inch basis (DBH) (i.e. one 6-inch red oak shall be replaced with two 3-inch red oaks, three 2-inch red oaks, or six 1-inch red oaks). Replacement trees shall be planted and guaranteed with the Contractor's standard warranty. Replacement tree size and location will be determined and staked by the Contracting Officer. Repair by pruning, aeration, soil conditioning, or other recommendation from a qualified forester will be considered as substitution for replacement by the Contracting Officer.

#### 3.5.4 Pavement Removal and Replacement

Where roads are cut, removed, or otherwise damaged in the prosecution of the work the Contractor shall replace all pavements or other surfacings so removed or damaged to their preconstruction condition. After backfill is completed on paved streets, a temporary surface shall be laid down and the street opened to the traffic in order to provide access to abutting property. Restoration of the original street surface construction shall be completed no later than 60 calendar days after starting excavation. Should weather conditions preclude the restoration of the original surface material, temporary resurfacing utilizing a bituminous mixture shall be installed with the final surface constructed no later than June 1 of the following construction season.

#### 3.5.5 Access

It shall be the Contractor's responsibility to visit the site and ascertain any depth restrictions on marine access.

#### 3.6 COFFERDAMS

##### 3.6.1 Channel Plug for Dredging

A cofferdam to block flow through the channel shall be in place during all hydraulic and mechanical dredging, with the exception of removal of the cofferdam and completing work in the vicinity of the cofferdam.

##### 3.6.2 Control of Sedimentation

Construction and removal of cofferdams shall be planned and completed to minimize sedimentation. Water levels inside the cofferdam shall equalize prior to removal. Placing or removal of cofferdams shall not begin until necessary resources are available. The first cofferdam placed and the last cofferdam removed shall be completed in a continuous operation, so that partially completed cofferdams are not left in place overnight. Plans for cofferdams shall be submitted in accordance with SECTION 01330: SUBMITTAL PROCEDURES.

##### 3.6.3 Construction

Cofferdams shall be constructed in accordance with the safety requirements

of EM 385-1-1. Cofferdams shall be inspected regularly and maintained. Erosion protection shall be placed in areas susceptible to scour, or where scour occurs. The Contractor shall be responsible for design and maintenance of all cofferdams.

### 3.7 DEWATERING OPERATIONS

#### 3.7.1 Scope

The Contractor shall design, furnish, install and operate dewatering systems in conjunction with associated cofferdams, shoring, and other related work. Control of groundwater shall be accomplished in a manner that will provide suitable working conditions for construction, will not cause instability of excavations, and will not result in damage to existing structures. Surface drainage shall be controlled by rerouting storm water runoff or diverting natural drainage, as necessary. It shall be the Contractors responsibility to perform the necessary dewatering operations irrespective of the water elevations at the time of the work. However, nothing in this clause prohibits the Contractor from receiving a time extension under the Default clause, the Time Extensions for Unusually Severe Weather clause, or any other clause in this contract.

#### 3.7.2 Requirements

##### 3.7.2.1 Design

If conditions warrant, and if not otherwise specified in the contract documents, dewatering may consist of collection in sumps or trenches, and open pumping. Sumps, trenches and running water shall not jeopardize erosion or ground loss near foundations, pipes, or other structures. Open pumping will not be permitted if it results in instability of slopes, or interference with orderly progress of the construction.

##### 3.7.2.2 Regulations

Compliance with all regulations shall be incidental to the dewatering work. Disposal of water shall be in accordance with SECTION 01355: ENVIRONMENTAL PROTECTION and all applicable regulations. Well abandonment shall seal aquifers and confining layers in compliance with environmental regulations and permits.

##### 3.7.2.3 Removal

Upon completion of the work, well casing and screens shall be withdrawn, and all equipment shall be removed (including related temporary cofferdams, shoring, etc.)

#### 3.7.3 Liability

Government review of the proposed dewatering system will not relieve the Contractor of full responsibility for the adequacy of the dewatering operations. The Contractor shall be responsible for dewatering effects on

adjacent properties, including but not limited to blockage of easements, erosion or sedimentation of ditches, and encroachment onto private property by flooding from pump outlets and sedimentation basins.

#### 3.7.4 Related Work

Shoring, trench support systems, cofferdams and diversion structures shall be coordinated with the dewatering effort to provide safe and reliable conditions.

### 3.8 FLOATING PLANT

#### 3.8.1 Equipment and Personnel

Floating plant and personnel shall comply with the applicable U.S. Coast Guard regulations and licensing requirements. Floating plant equipment shall meet the applicable requirements of 46 CFR Chapter 1 Subchapter E and 46 CFR 44.05-10.

#### 3.8.2 Navigable Waters

Floating vessels operating on the Mississippi River and it's tributaries must be operated in accordance with 33 CFR 207.3, "Ohio River, Mississippi River above Cairo, Ill., and their tributaries; use, administration, and navigation."

#### 3.8.3 Sewage and Bilge Water Disposal

The Contractor's methods for disposal of sanitary sewage, and bilge water accumulated aboard floating plant equipment, shall meet applicable local, state, and federal requirements.

### 3.9 SURVEYS

#### 3.9.1 Field Layout

The Contractor shall layout the work from the Government established bench marks in accordance with CONTRACT CLAUSE: LAYOUT OF WORK. The construction of each feature of work shall follow the alignments as indicated on the drawings. The Contractor shall have in place, at least 7 calendar days prior to commencing construction operations, sufficient stakes and markings to enable the Contracting Officer to observe the field layout of the alignment and limits of each feature of work. For each feature of work, these stakes shall define areal limits such that the Contracting Officer can easily determine, without additional surveys, if alignment and/or limit adjustments need to be made. For embankments, levees, floodwalls, and similar work, these stakes shall define centerline, stationing, outermost fill/cut limits, and work limits. For buildings and similar work, the building corners and grid lines shall be staked. General site work shall be staked to define staging areas, storage areas, and other area limits as directed. The Contracting Officer may waive these requirements for certain areas. The layout shall be sufficient for the Contracting Officer to mark trees, vegetation and other features to be left undisturbed. No work shall take place without approval of field layout by the Contracting Officer.

#### 3.9.1.1 Alignment Changes

The Government reserves the right to make changes in the alignment of any feature of work as may be found necessary during the course of the contract. If it becomes necessary, through no fault of the Contractor, to abandon a line, location or feature on which work has been done, an equitable adjustment for completed work will be made. No alignment changes or abandonment shall take place without prior written notice from the Contracting Officer.

#### 3.9.2 Quantity surveys

The Contractor shall perform quantity and tolerance verification surveys for all features of work in accordance with CONTRACT CLAUSE: QUANTITY SURVEYS--ALTERNATE I. Unless changed by the Contracting Officer, the Contractor shall provide cross sections at 100 foot intervals to verify the required section, except that soundings taken in water shall be at closer intervals. Cross sections in water shall be at 50 foot intervals, and the maximum spacing between points on a cross section shall be 25 feet. Areas where payment for material is specified by volume, and/or weight, shall be surveyed by the Contractor, prior to commencement of construction of each feature and upon completion of each feature, in enough detail to accurately determine quantities and verify the required section. The Contractor shall also plot each cross section from the survey notes at a scale of 1" = 10' and provide a copy of the survey notes and cross sections to the Contracting Officer within 10 days after completion of the survey.

-- End of Section --

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01111

WATER QUALITY MONITORING PROGRAM

**12/98**

PART 1 GENERAL

- 1.1 MONITORING PURPOSE
- 1.2 GOVERNMENT MONITORING PLAN
- 1.3 NOTIFICATION
- 1.4 DAMAGE TO MONITORING WELLS

PART 2 PRODUCTS (Not Applicable)

PART 3 EXECUTION

- 3.1 CONTRACTOR MONITORING

-- End of Section Table of Contents --

## SECTION 01111

### WATER QUALITY MONITORING PROGRAM

12/98

#### PART 1 GENERAL

The following considerations are concerned with the hydraulic placement of dredged material.

##### 1.1 MONITORING PURPOSE

Hydraulic placement of dredged material results in percolation of carriage water into the ground. This percolation of carriage water will complement the natural infiltration from precipitation and surface waters. As carriage water enters the groundwater system, it may create a temporary rise in the piezometric groundwater levels in the vicinity of the disposal area, and it will cause some temporary changes in the groundwater chemistry. Groundwater will be monitored to document changes in the groundwater quality and contaminant levels. Water quality monitoring results will be compared to drinking water standards and pre-construction baseline conditions to determine the project's effect on water quality.

##### 1.2 GOVERNMENT MONITORING PLAN

Monitoring wells will be installed by the Government.

The groundwater quality monitoring program will monitor piezometric levels and groundwater chemistry. Sampling points include 3 monitoring wells, surface water sites, and residential wells on surrounding properties. The exact number and location of sampling points will be determined by the Government after the Contractor submits the Disposal Plan. Surface water sites to be sampled may include ponding areas within the dredged material disposal site, the Mississippi River upstream of the dredging activity, and a pond adjacent to the disposal site.

The government or its assigns will collect and analyze samples taken from the monitoring wells, residential wells, and surface water sites. Monitoring will be conducted prior to the dredging activity (pre-project), during the dredging activity (project), and for a time after completion of dredging (post-project). The planned sampling schedule for chemical analysis includes the following: 3 pre-project samples, 3 post project samples, and sample sets collected every two weeks during the course of dredging. Chemical analysis will generally be conducted to screen for contaminants established for drinking water standards. Specific analytical methods may vary.

##### 1.3 NOTIFICATION

Time Restrictions for hydraulic dredging are included in Section 01000, paragraph SCHEDULING.

A minimum of 2 weeks prior to the onset of dredged material placement at the disposal site (so that sampling during material placement can be coordinated), the Contractor shall notify the Contracting Officer's Representative and Mr. Jim Sentz, Water Quality Unit at Corps Water Control Section (651) 290-5625

Should the Contractor choose an alternate disposal site as allowed in SECTION 02327, paragraph 1.2, the Contractor shall bear all costs associated with monitoring the alternate site, including costs for installing monitoring wells, monitoring residential wells, and laboratory analyses. The Contractor shall notify the Contracting Officer's Representative at least 30 days in advance of placement at an alternate site in order to establish monitoring well background information.

#### 1.4 DAMAGE TO MONITORING WELLS

The contractor shall immediately repair or replace monitoring wells damaged by the Contractor's operations at no cost to the Government. The Contractor shall control his operations such that traffic, disposal of dredged material, erosion by runoff water, or stockpiled material does not damage, threaten or restrict passenger vehicle access to the wells.

#### PART 2 PRODUCTS (Not Applicable)

#### PART 3 EXECUTION

##### 3.1 CONTRACTOR MONITORING

The Contractor shall conduct daily water level measurements in the monitoring wells (2 or 3 wells). Daily water level readings shall start 2 days prior to dredge fill placement and continue until 7 days after the last dredge fill placement. The Government will supply forms for recording water level readings.

-- End of Section --

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01270

MEASUREMENT AND PAYMENT

02/94

PART 1 GENERAL

- 1.1 REFERENCES
- 1.2 COMPENSATION
- 1.3 FIELD MEASUREMENT
- 1.4 MEASUREMENT BY WEIGHT
- 1.5 MEASUREMENT UNITS
- 1.6 UNIT PRICES
  - 1.6.1 Bonds
  - 1.6.2 Mobilization and Demobilization
  - 1.6.3 Maintenance Dewatering of Channel Excavation
  - 1.6.4 Upper East Channel Excavation
  - 1.6.5 Lower East Channel Dredging
  - 1.6.6 Rockfill - Upper East Channel Bank Protection
  - 1.6.7 Rockfill - Lower East Channel Bank Protection
  - 1.6.8 Rockfill - Rock Mound Flow Training Structure
  - 1.6.9 Rockfill - Weir at East Channel Inlet
  - 1.6.10 Cover Soil
  - 1.6.11 Topsoil
  - 1.6.12 Seeding and Mulching
  - 1.6.13 Staging Area Reclamation

PART 2 PRODUCTS (Not Applicable)

PART 3 EXECUTION (Not Applicable)

-- End of Section Table of Contents --



## SECTION 01270

### MEASUREMENT AND PAYMENT

02/94

#### PART 1 GENERAL

##### 1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

##### NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY (NIST)

NIST HB 44	(1997) NIST Handbook 44: Specifications, Tolerances, and Other Technical Requirements for Weighing and Measuring Devices
------------	--

##### 1.2 COMPENSATION

The payment provided for in the contract shall constitute full compensation for furnishing all materials and for performing all work under the contract in a complete and acceptable manner. The contract work shall include providing plant, equipment, tools, supplies, labor, supervision, incidental materials, quality control, environmental protection, and meeting safety requirements, and for performing all work required for which separate payment is not otherwise provided. Compensation for all work shown, specified, or essential to completion of the project (whether or not the specific material or operation is indicated) shall be included on the bidding schedule. The payment provided for in the contract includes compensation for all risk, loss, damage, and expense arising out of the nature of the work or its prosecution, subject to conditions of the contract. Payment for each contract line item will constitute full compensation for furnishing the materials and constructing the work complete in place as specified.

##### 1.3 FIELD MEASUREMENT

The Contractor shall provide field surveys for quantity determination as specified in SECTION 01000.

##### 1.4 MEASUREMENT BY WEIGHT

Bulk materials paid for by weight will be measured by weighing each truck load on approved scales before being placed in the work. Scales shall be of sufficient length to permit simultaneous weighing of all axle loads and

shall be sensitive to a change in load of 0.2 percent throughout the range of the scales. The scale's accuracy shall conform to the applicable requirements of NIST HB 44 and shall be certified by scale servicing company or by an inspector of the State Inspection Bureau. Each load shall be accompanied by a delivery ticket certified by the weighmaster. Delivery tickets shall be collected by the Contractor, and copies thereof shall be furnished to the Contracting Officer. As a minimum, each ticket shall contain the following information:

- (1) Date and time.
- (2) Vehicle number.
- (3) Gross weight.
- (4) Vehicle tare weight.
- (5) Net weight.
- (6) Job total for material weighed.
- (7) Signature of weighmaster.

#### 1.5 MEASUREMENT UNITS

When materials are measured in units other than the measurement units specified as the basis of payment, the measured quantities shall be converted to the specified unit of measure. Factors for conversions from one basis or unit of measurement to another shall be approved by the Contracting Officer.

#### 1.6 UNIT PRICES

Payment items for the work of this contract are listed in the BIDDING SCHEDULE and described below. The payment items provided for on the bidding schedule embody the majority of the work; but the work descriptions provided below do not specifically discuss all incidental work required to complete the contract work.

##### 1.6.1 Bonds

Bonds will be paid for on a job basis in accordance with FAR 52.232-5.

##### 1.6.2 Mobilization and Demobilization

Mobilization and Demobilization shall consist of the following work:

- a. Equipment and Plant. Physical move of equipment and plant on and off the project site shall be included under mobilization and demobilization.
- b. Pipelines. Construction and removal of pipelines for hydraulic dredging shall be included under mobilization and demobilization.
- c. Cofferdams. Construction and removal of cofferdams shall be included under mobilization and demobilization.
- d. Temporary Project Safety Fence and Silt Curtain. Construction and removal of the temporary project safety fence and silt curtain shall be included under mobilization and demobilization.

##### 1.6.3 Maintenance Dewatering of Channel Excavation

Work paid for under this contract line item shall include: pumping, trenching, installation of dewatering devices, cofferdam maintenance, sedimentation basins, and other activities directly related to dewatering the channel excavation. This work will not be measured for payment. Payment will be made on a job basis, complete.

#### 1.6.4 Upper East Channel Excavation

Channel excavation shall include the area upstream of Highway 10. The material shall be excavated from the Mississippi river channel and relocated to the designated placement site. Work paid for under this contract line item shall include all costs for dredging, material handling and grading at the placement site, water handling and treatment at the placement site, and water return lines. No consideration will be given to the nature of the materials, and all excavation will be designated as unclassified excavation. No separate payment will be made for movement of buoys, interruptions due to river traffic, installation/removal of best management practices for control of sediment, layout and surveys, or other incidental work specified. Work access by dredge cut for floating plant will not be measured for payment.

a. Basis of Payment. The work will be measured by the cubic yard, in the original position, using the average-end-area method based on the required survey data and the indicated finish lines and grades shown on the drawings, except final surveys shall be used for authorized over-depth excavation.

b. Measurement. Surveying shall be in accordance with SECTION: GENERAL. Except for authorized over-depth excavation, no allowance will be made for materials removed outside of the lines and grades shown.

#### 1.6.5 Lower East Channel Dredging

Downstream dredging shall include the area downstream of Highway 10. The material shall be excavated from the Mississippi river channel and relocated to the designated placement site. Work paid for under this contract line item shall include all costs for dredging, material handling and grading at the placement site, water handling and treatment at the placement site, and water return lines. No consideration will be given to the nature of the materials, and all excavation will be designated as unclassified excavation. No separate payment will be made for movement of buoys, interruptions due to river traffic, installation/removal of best management practices for control of sediment, layout and surveys, or other incidental work specified. Work access by dredge cut for floating plant will not be measured for payment.

a. Basis of Payment. The work will be measured by the cubic yard, in the original position, using the average-end-area method based on the required survey data and the indicated finish lines and grades shown on the drawings, except final surveys shall be used for authorized over-depth excavation.

b. Measurement. Surveying shall be in accordance with SECTION:

GENERAL. Except for authorized over-depth excavation, no allowance will be made for materials removed outside of the lines and grades shown.

1.6.6 Rockfill - Upper East Channel Bank Protection

Payment will be by the ton (TN)(2,000 pounds avoirdupois) of material acceptably placed within the tolerances specified. Price(s) and payment(s) will be made at the contract unit price and will constitute full compensation for furnishing all plant, labor, materials and equipment and constructing the work complete in place as specified. No separate payment will be made for stockpiling materials.

1.6.7 Rockfill - Lower East Channel Bank Protection

Payment will be by the ton (TN)(2,000 pounds avoirdupois) of material acceptably placed within the tolerances specified. Price(s) and payment(s) will be made at the contract unit price and will constitute full compensation for furnishing all plant, labor, materials and equipment and constructing the work complete in place as specified. No separate payment will be made for stockpiling materials.

1.6.8 Rockfill - Rock Mound Flow Training Structure

Payment will be by the ton (TN)(2,000 pounds avoirdupois) of material acceptably placed within the tolerances specified. Price(s) and payment(s) will be made at the contract unit price and will constitute full compensation for furnishing all plant, labor, materials and equipment and constructing the work complete in place as specified. No separate payment will be made for stockpiling materials.

1.6.9 Rockfill - Weir at East Channel Inlet

Payment will be by the ton (TN)(2,000 pounds avoirdupois) of material acceptably placed within the tolerances specified. Price(s) and payment(s) will be made at the contract unit price and will constitute full compensation for furnishing all plant, labor, materials and equipment and constructing the work complete in place as specified. No separate payment will be made for stockpiling materials.

1.6.10 Cover Soil

Cover Soil will be measured by the cubic yard (CY) in place. Payment will be made at the contract unit price and will constitute full compensation for excavating, transporting, and spreading the soil. No separate payment will be made for stockpiling or separating topsoil and cover soil.

1.6.11 Topsoil

Topsoil will be measured by the cubic yard (CY) in place. Payment will be made at the contract unit price and will constitute full compensation for excavating, transporting, and spreading the soil. No separate payment will be made for stockpiling or separating topsoil and cover soil.

#### 1.6.12 Seeding and Mulching

Seeding and mulching will be measured for payment by the acre. The area measured for payment shall consist of the actual area of seeding and mulching within the work limits (not including the access roads) at the placement site shown on drawing M-P-Falls-60/009; other seeding and mulching areas shall be paid for under staging area reclamation. Payment will be made at the contract unit price and will constitute full compensation for surface preparation, furnishing the materials, delivering the materials, sowing the seed, and spreading the mulch.

#### 1.6.13 Staging Area Reclamation

Work paid for under this contract line item shall include: grading, seeding or sodding, mulching, temporary erosion control, removal of debris, and other activities directly related to reclamation of normal disturbance in the staging areas and access to work areas. This work will not be measured for payment. Payment will be made on a job basis, complete.

PART 2 PRODUCTS (Not Applicable)

PART 3 EXECUTION (Not Applicable)

-- End of Section --

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01330

SUBMITTAL PROCEDURES

PART 1 GENERAL

- 1.1 SUBMITTAL IDENTIFICATION
- 1.2 SUBMITTAL CLASSIFICATION
  - 1.2.1 Government Approved
  - 1.2.2 Information Only
- 1.3 APPROVED SUBMITTALS
- 1.4 DISAPPROVED SUBMITTALS
- 1.5 WITHHOLDING OF PAYMENT
- 1.6 MEASUREMENT AND PAYMENT

PART 2 PRODUCTS (Not Applicable)

PART 3 EXECUTION

- 3.1 GENERAL
- 3.2 SUBMITTAL REGISTER (ENG FORM 4288)
- 3.3 SCHEDULING
- 3.4 TRANSMITTAL FORM (ENG FORM 4025)
- 3.5 SUBMITTAL PROCEDURE
  - 3.5.1 Submittal Copies
  - 3.5.2 Schedule
  - 3.5.3 Shop Drawings
  - 3.5.4 Deviations
- 3.6 CONTROL OF SUBMITTALS
- 3.7 GOVERNMENT APPROVED SUBMITTALS
- 3.8 INFORMATION ONLY SUBMITTALS
- 3.9 STAMPS
- 3.10 CONTRACTOR RECORD DRAWINGS
  - 3.10.1 As-Built Shop Drawings

-- End of Section Table of Contents --

## SECTION 01330

### SUBMITTAL PROCEDURES

#### PART 1 GENERAL

##### 1.1 SUBMITTAL IDENTIFICATION

Submittals required are identified by SD numbers and titles as follows:

- SD-01 Preconstruction Submittals
- SD-02 Shop Drawings
- SD-03 Product Data
- SD-04 Samples
- SD-05 Design Data
- SD-06 Test Reports
- SD-07 Certificates
- SD-08 Manufacturer's Instructions
- SD-09 Manufacturer's Field Reports
- SD-10 Operation and Maintenance Data
- SD-11 Closeout Submittals

##### 1.2 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

###### 1.2.1 Government Approved

Governmental approval is required for extensions of design, critical materials, deviations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings."

###### 1.2.2 Information Only

All submittals not requiring Government approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

##### 1.3 APPROVED SUBMITTALS

The Contracting Officer's approval of submittals shall not be construed as a complete check, but will indicate only that the general method of construction, materials, detailing and other information are satisfactory. Approval will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the CQC requirements of this contract is responsible for dimensions, the design of adequate connections and details, and the satisfactory construction of all work. After submittals have been approved by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

#### 1.4 DISAPPROVED SUBMITTALS

The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Contract Clause "Changes" shall be given promptly to the Contracting Officer.

#### 1.5 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

#### 1.6 MEASUREMENT AND PAYMENT

The work of this section will not be measured for payment. The Contractor shall be responsible for the work of this section, without any direct compensation being made other than the payment received for contract items.

### PART 2 PRODUCTS (Not Applicable)

### PART 3 EXECUTION

#### 3.1 GENERAL

The Contractor shall make submittals as required by the specifications. The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections. Units of weights and measures used on all submittals shall be the same as those used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. Prior to submittal, all items shall be checked and approved by the Contractor's Quality Control (CQC) representative and each item shall be stamped, signed, and dated by the CQC representative indicating action taken. Proposed deviations from the contract requirements shall be clearly identified. Submittals shall include items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals. Submittals



requiring Government approval shall be scheduled and made prior to the acquisition of the material or equipment covered thereby. Samples remaining upon completion of the work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

### 3.2 SUBMITTAL REGISTER (ENG FORM 4288)

At the end of this section is a submittal register (ENG Form 4288) showing items of equipment and materials for which submittals are required by the specifications; this list may not be all inclusive and additional submittals may be required. Columns "c" through "f" have been completed by the Government; the Contractor shall complete columns "a" and "g" through "i" and submit the forms to the Contracting Officer for approval within 7 calendar days after Notice to Proceed. The Contractor shall keep the submittal register up-to-date and shall submit it to the Government together with the monthly payment request. The approved submittal register will become the scheduling document and will be used to control submittals throughout the life of the contract. The submittal register and the progress schedules shall be coordinated.

### 3.3 SCHEDULING

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. Certifications to be submitted with the pertinent drawings shall be so scheduled. Adequate time (a minimum of 30 calendar days exclusive of mailing time) shall be allowed and shown on the register for review and approval. No delay damages or time extensions will be allowed for time lost in late submittals. The submittal register shall provide for a reasonable timely distribution of shop drawings as they are prepared (particularly within a specific discipline, i.e.: structural, mechanical).

### 3.4 TRANSMITTAL FORM (ENG FORM 4025)

The sample transmittal form (ENG Form 4025) attached to this section shall be used for submitting both Government approved and information only submittals in accordance with the instructions on the reverse side of the form. These forms will be furnished to the Contractor. This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. Special care shall be exercised to ensure proper listing of the specification paragraph and/or sheet number of the contract drawings pertinent to the data submitted for each item.

### 3.5 SUBMITTAL PROCEDURE

#### 3.5.1 Submittal Copies

The Contractor shall submit 6 copies of each submittal (both government approved and for information only) unless otherwise indicated. Each transmittal shall address only one submittal item. Transmittals returned for resubmission shall be resubmitted in their entirety. When approved by the Contracting Officer, routine test reports and delivery tickets may be submitted with daily quality control reports in place of following

submittal procedures under this section.

#### 3.5.2 Schedule

Shop drawings shall be submitted with ample time to secure Government approval prior to the time the items covered thereby are to be delivered to the site. Additional time should be allowed for possible resubmittal. Materials fabricated or delivered without Government approval of the shop drawing will be subject to rejection. All submittals shall be made prior to commencement of applicable work, and allow adequate time for government review acceptable to the Contracting Officer.

#### 3.5.3 Shop Drawings

Shop drawings shall be reproductions on high quality paper with clear legible print. Drawings shall generally be bordered a minimum of one inch and trimmed to neat lines. Shop drawing quality will be subject to approval. Each shop drawing, including catalog data, shall be identified with a title block including the name of the Contractor, contract number, name and location of project, and name of the item of work or structure to which the shop drawing applies. Catalog data, including specifications and full descriptive matter, may be submitted as shop drawings. Catalog data must be supplemented as necessary to include all pertinent data to verify conformance to the contract documents. When catalog data includes non applicable data, the applicable data shall be clearly indicated.

#### 3.5.4 Deviations

For submittals which include proposed deviations requested by the Contractor, the column "variation" of ENG Form 4025 shall be checked. The Contractor shall set forth in writing the reason for any deviations and annotate such deviations on the submittal. The Government reserves the right to rescind inadvertent approval of submittals containing unnoted deviations.

#### 3.6 CONTROL OF SUBMITTALS

The Contractor shall carefully control his procurement operations to ensure that each individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register."

#### 3.7 GOVERNMENT APPROVED SUBMITTALS

Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. Five copies of the submittal will be retained by the Contracting Officer and 1 copy of the submittal will be returned to the Contractor.

#### 3.8 INFORMATION ONLY SUBMITTALS

Normally submittals for information only will not be returned. Approval of the Contracting Officer is not required on information only submittals. The Government reserves the right to require the Contractor to resubmit any

item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Government laboratory or for check testing by the Government in those instances where the technical specifications so prescribe.

### 3.9 STAMPS

Stamps used by the Contractor on the submittal data to certify that the submittal meets contract requirements shall be similar to the following:

<p style="text-align: center;">CONTRACTOR</p> <p style="text-align: center;">(Firm Name)</p> <p>_____ Approved</p> <p>_____ Approved with corrections as noted on submittal data and/or attached sheets(s).</p> <p>SIGNATURE: _____</p> <p>TITLE: _____</p> <p>DATE: _____</p>
--

### 3.10 CONTRACTOR RECORD DRAWINGS

The Contractor shall maintain a separate set of marked-up full-scale contract drawings indicating as-built conditions. These drawings shall be maintained in a current condition at all times until completion of the work and shall be available for review by Government personnel at all times. All variations from the contract drawings, for whatever reason, including those occasioned by modifications, optional materials, and the required coordination between trades, shall be indicated. These variations shall be shown in the same general detail utilized in the contract drawings.

Revisions shall be shown on all drawings and details related to the changed feature. These drawings shall be neatly prepared with clear legible print.

Deleted items shall be indicated in red and added items or changed locations shall be shown in green. These drawings shall be furnished to the Contracting Officer within 30 days after the required contract completion date.

#### 3.10.1 As-Built Shop Drawings

The Contractor shall record changes to shop drawings to indicate as-built conditions. These drawings shall show all changes and revisions made up to the time the equipment is completed and accepted.

-- End of Section --

**TRANSMITTAL OF SHOP DRAWINGS, EQUIPMENT DATA, MATERIAL SAMPLES, OR MANUFACTURER'S CERTIFICATES OF COMPLIANCE**

*(Read instructions on the reverse side prior to initiating this form)*

## SECTION I - REQUEST FOR APPROVAL OF THE FOLLOWING ITEMS

*(This section will be initiated by the contractor)*

TO:	FROM:	CONTRACT NO.	CHECK ONE: <input type="checkbox"/> THIS IS A NEW TRANSMITTAL <input type="checkbox"/> THIS IS A RESUBMITTAL OF TRANSMITTAL _____
SPECIFICATION SEC. NO. (Cover only one section with each transmittal)	PROJECT TITLE AND LOCATION		CHECK ONE: THIS TRANSMITTAL IS FOR <input type="checkbox"/> FIO <input type="checkbox"/> GOV'T. APPROVAL

[illegible]

REMARKS

I certify that the above submitted items have been reviewed in detail and are correct and in strict conformance with the contract drawings and specifications except as other wise stated.

NAME AND SIGNATURE OF CONTRACTOR

## SECTION II - APPROVAL ACTION

ENCLOSURES RETURNED ( <i>List by Item No.</i> )	NAME, TITLE AND SIGNATURE OF APPROVING AUTHORITY	DATE
---	--	------

## INSTRUCTIONS

1. Section I will be initiated by the Contractor in the required number of copies.
2. Each transmittal shall be numbered consecutively in the space provided for "Transmittal No.". This number, in addition to the contract number, will form a serial number for identifying each submittal. For new submittals or resubmittals mark the appropriate box; on resubmittals, insert transmittal number of last submission as well as the new submittal number.
3. The "Item No." will be the same "Item No." as indicated on ENG FORM 4288-R for each entry on this form.
4. Submittals requiring expeditious handling will be submitted on a separate form.
5. Separate transmittal form will be used for submittals under separate sections of the specifications.
6. A check shall be placed in the "Variation" column when a submittal is not in accordance with the plans and specifications--also, a written statement to that effect shall be included in the space provided for "Remarks".
7. Form is self-transmittal, letter of transmittal is not required.
8. When a sample of material or Manufacturer's Certificate of Compliance is transmitted, indicate "Sample" or "Certificate" in column c, Section I.
9. U.S. Army Corps of Engineers approving authority will assign action codes as indicated below in space provided in Section I, column i to each item submitted. In addition they will ensure enclosures are indicated and attached to the form prior to return to the contractor. The Contractor will assign action codes as indicated below in Section I, column g, to each item submitted.

### THE FOLLOWING ACTION CODES ARE GIVEN TO ITEMS SUBMITTED

A --	Approved as submitted.	E --	Disapproved (See attached).
B --	Approved, except as noted on drawings.	F --	Receipt acknowledged.
C --	Approved, except as noted on drawings. Refer to attached sheet resubmission required.	FX --	Receipt acknowledged, does not comply as noted with contract requirements.
D --	Will be returned by separate correspondence.	G --	Other (Specify)

10. Approval of items does not relieve the contractor from complying with all the requirements of the contract plans and specifications.







SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01355

ENVIRONMENTAL PROTECTION

01/01

PART 1 GENERAL

- 1.1 REFERENCES
- 1.2 DEFINITIONS
  - 1.2.1 Environmental Pollution and Damage
  - 1.2.2 Environmental Protection
  - 1.2.3 Contractor Generated Hazardous Waste
  - 1.2.4 Land Application for Discharge Water
  - 1.2.5 Pesticide
  - 1.2.6 Pests
  - 1.2.7 Surface Discharge
  - 1.2.8 Waters of the United States
  - 1.2.9 Wetlands
- 1.3 GENERAL REQUIREMENTS
- 1.4 SUBCONTRACTORS
- 1.5 PAYMENT
- 1.6 SUBMITTALS
- 1.7 ENVIRONMENTAL PROTECTION PLAN
  - 1.7.1 Compliance
  - 1.7.2 Contents
  - 1.7.3 Appendix
- 1.8 PROTECTION FEATURES
- 1.9 ENVIRONMENTAL ASSESSMENT OF CONTRACT DEVIATIONS
- 1.10 NOTIFICATION

PART 2 PRODUCTS (NOT USED)

PART 3 EXECUTION

- 3.1 PERMITS
- 3.2 LAND RESOURCES
  - 3.2.1 Work Area Limits
  - 3.2.2 Landscape
  - 3.2.3 Erosion and Sediment Controls
  - 3.2.4 Contractor Facilities and Work Areas
- 3.3 WATER RESOURCES
  - 3.3.1 Cofferdams, Diversions, and Dewatering Operations
  - 3.3.2 Stream Crossings
  - 3.3.3 Wetlands
- 3.4 AIR RESOURCES

- 3.4.1 Particulates
- 3.4.2 Odors
- 3.4.3 Sound Intrusions
- 3.5 CHEMICAL MATERIALS MANAGEMENT AND WASTE DISPOSAL
  - 3.5.1 Solid Wastes
  - 3.5.2 Chemicals and Chemical Wastes
  - 3.5.3 Contractor Generated Hazardous Wastes/Excess Hazardous Materials
  - 3.5.4 Fuel and Lubricants
  - 3.5.5 Waste Water
- 3.6 RECYCLING AND WASTE MINIMIZATION
- 3.7 HISTORICAL, ARCHAEOLOGICAL, AND CULTURAL RESOURCES
- 3.8 BIOLOGICAL RESOURCES
- 3.9 PESTICIDES
  - 3.9.1 Pesticide Delivery and Storage
  - 3.9.2 Qualifications
  - 3.9.3 Pesticide Handling Requirements
  - 3.9.4 Application
- 3.10 PREVIOUSLY USED EQUIPMENT
- 3.11 MAINTENANCE OF POLLUTION FACILITIES
- 3.12 TRAINING OF CONTRACTOR PERSONNEL
- 3.13 POST CONSTRUCTION CLEANUP

-- End of Section Table of Contents --

SECTION 01355

ENVIRONMENTAL PROTECTION

01/01

PART 1 GENERAL

1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

CODE OF FEDERAL REGULATIONS (CFR)

33 CFR 328	Definitions
40 CFR 68	Chemical Accident Prevention Provisions
40 CFR 261	Identification and Listing of Hazardous Waste
40 CFR 262	Standards Applicable to Generators of Hazardous Waste
40 CFR 279	Standards for the Management of Used Oil
40 CFR 302	Designation, Reportable Quantities, and Notification
40 CFR 355	Emergency Planning and Notification
49 CFR 171 - 178	Hazardous Materials Regulations

ENGINEERING MANUALS (EM)

EM 385-1-1	(1996) U.S. Army Corps of Engineers Safety and Health Requirements Manual
------------	---

US ARMY CORPS OF ENGINEERS TECHNICAL REPORT

WETLAND MANUAL	Corps of Engineers Wetlands Delineation Manual Technical Report Y-87-1
----------------	--

1.2 DEFINITIONS

1.2.1 Environmental Pollution and Damage

Environmental pollution and damage is the presence of chemical, physical,

or biological elements or agents which adversely affect human health or welfare; unfavorably alter ecological balances of importance to human life; affect other species of importance to humankind; or degrade the environment aesthetically, culturally and/or historically.

#### 1.2.2 Environmental Protection

Environmental protection is the prevention/control of pollution and habitat disruption that may occur to the environment during construction. The control of environmental pollution and damage requires consideration of land, water, and air; biological and cultural resources; and includes management of visual aesthetics; noise; solid, chemical, gaseous, and liquid waste; radiant energy and radioactive material as well as other pollutants.

#### 1.2.3 Contractor Generated Hazardous Waste

Contractor generated hazardous waste means materials that, if abandoned or disposed of, may meet the definition of a hazardous waste. These waste streams would typically consist of material brought on site by the Contractor to execute work, but are not fully consumed during the course of construction. Examples include, but are not limited to, excess paint thinners (i.e. methyl ethyl ketone, toluene etc.), waste thinners, excess paints, excess solvents, waste solvents, and excess pesticides, and contaminated pesticide equipment rinse water.

#### 1.2.4 Land Application for Discharge Water

The term "Land Application" for discharge water implies that the Contractor shall discharge water at a rate which allows the water to percolate into the soil. No sheeting action, soil erosion, discharge into storm sewers, discharge into defined drainage areas, or discharge into the "waters of the United States" shall occur. Land Application shall be in compliance with all applicable Federal, State, and local laws and regulations.

#### 1.2.5 Pesticide

Pesticide is defined as any substance or mixture of substances intended for preventing, destroying, repelling, or mitigating any pest, or intended for use as a plant regulator, defoliant or desiccant.

#### 1.2.6 Pests

The term "pests" means arthropods, birds, rodents, nematodes, fungi, bacteria, viruses, algae, snails, marine borers, snakes, weeds and other organisms (except for human or animal disease-causing organisms) that adversely affect readiness, military operations, or the well-being of personnel and animals; attack or damage real property, supplies, equipment, or vegetation; or are otherwise undesirable.

#### 1.2.7 Surface Discharge

The term "Surface Discharge" implies that the water is discharged with possible sheeting action and subsequent soil erosion may occur. Waters

that are surface discharged may terminate in drainage ditches, storm sewers, creeks, and/or "waters of the United States" and would require a permit to discharge water from the governing agency.

#### 1.2.8 Waters of the United States

All waters which are under the jurisdiction of the Clean Water Act, as defined in 33 CFR 328.

#### 1.2.9 Wetlands

Wetlands means those areas that are inundated or saturated by surface or ground water at a frequency and duration sufficient to support, and that under normal circumstances do support, a prevalence of vegetation typically adapted for life in saturated soil conditions. Wetlands generally include swamps, marshes, and bogs. Official determination of whether or not an area is classified as a wetland must be done in accordance with WETLAND MANUAL.

### 1.3 GENERAL REQUIREMENTS

The Contractor shall minimize environmental pollution and damage that may occur as the result of construction operations. The environmental resources within the project boundaries and those affected outside the limits of permanent work shall be protected during the entire duration of this contract. The Contractor shall comply with all applicable environmental Federal, State, and local laws and regulations. The Contractor shall be responsible for any delays resulting from failure to comply with environmental laws and regulations.

#### 1.4 SUBCONTRACTORS

The Contractor shall ensure compliance with this section by subcontractors.

#### 1.5 PAYMENT

No separate payment will be made for work covered under this section. The Contractor shall be responsible for payment of fees associated with environmental permits, application, and/or notices obtained by the Contractor. All costs associated with this section shall be included in the contract price. The Contractor shall be responsible for payment of all fines/fees for violation or non-compliance with Federal, State, Regional and local laws and regulations.

#### 1.6 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

## Environmental Protection Plan; G,ENV

The environmental protection plan contents are defined in the following paragraph.

### 1.7 ENVIRONMENTAL PROTECTION PLAN

Prior to commencing construction activities or delivery of materials to the site, the Contractor shall submit an Environmental Protection Plan for review and approval by the Contracting Officer. The purpose of the Environmental Protection Plan is to present a comprehensive overview of known or potential environmental issues which the Contractor must address during construction. Issues of concern shall be defined within the Environmental Protection Plan as outlined in this section. The Contractor shall address each topic at a level of detail commensurate with the environmental issue and required construction task(s). Topics or issues which are not identified in this section, but which the Contractor considers necessary, shall be identified and discussed after those items formally identified in this section. Prior to submittal of the Environmental Protection Plan, the Contractor shall meet with the Contracting Officer for the purpose of discussing the implementation of the initial Environmental Protection Plan; possible subsequent additions and revisions to the plan including any reporting requirements; and methods for administration of the Contractor's Environmental Plans. The Environmental Protection Plan shall be current and maintained onsite by the Contractor.

#### 1.7.1 Compliance

No requirement in this Section shall be construed as relieving the Contractor of any applicable Federal, State, and local environmental protection laws and regulations. During Construction, the Contractor shall be responsible for identifying, implementing, and submitting for approval any additional requirements to be included in the Environmental Protection Plan.

#### 1.7.2 Contents

The environmental protection plan shall include, but shall not be limited to, the following:

- a. Name(s) of person(s) within the Contractor's organization who is(are) responsible for ensuring adherence to the Environmental Protection Plan.
- b. Name(s) and qualifications of person(s) responsible for manifesting hazardous waste to be removed from the site, if applicable.
- c. Name(s) and qualifications of person(s) responsible for training the Contractor's environmental protection personnel.
- d. Description of the Contractor's environmental protection personnel training program.
- e. An erosion and sediment control plan which identifies the type and

location of the erosion and sediment controls to be provided. The plan shall include monitoring and reporting requirements to assure that the control measures are in compliance with the erosion and sediment control plan, Federal, State, and local laws and regulations. A Storm Water Pollution Prevention Plan (SWPPP) may be substituted for this plan.

f. Drawings showing locations of proposed temporary excavations or embankments for haul roads, stream crossings, material storage areas, structures, sanitary facilities, and stockpiles of excess or spoil materials including methods to control runoff and to contain materials on the site.

g. Traffic control plans including measures to reduce erosion of temporary roadbeds by construction traffic, especially during wet weather. Plan shall include measures to minimize the amount of mud transported onto paved public roads by vehicles or runoff.

h. Work area plan showing the proposed activity in each portion of the area and identifying the areas of limited use or nonuse. Plan should include measures for marking the limits of use areas including methods for protection of features to be preserved within authorized work areas.

i. Drawing showing the location of borrow areas.

j. The Spill Control plan shall include the procedures, instructions, and reports to be used in the event of an unforeseen spill of a substance regulated by 40 CFR 68, 40 CFR 302, 40 CFR 355, and/or regulated under State or Local laws and regulations. The Spill Control Plan supplements the requirements of EM 385-1-1. This plan shall include as a minimum:

1. The name of the individual who will report any spills or hazardous substance releases and who will follow up with complete documentation. This individual shall immediately notify the Contracting Officer, and the local Fire Department for flammable materials, in addition to the legally required Federal, State, and local reporting channels (including the National Response Center 1-800-424-8802) if a reportable quantity is released to the environment. The plan shall contain a list of the required reporting channels and telephone numbers.

2. The name and qualifications of the individual who will be responsible for implementing and supervising the containment and cleanup.

3. Training requirements for Contractor's personnel and methods of accomplishing the training.

4. A list of materials and equipment to be immediately available at the job site, tailored to cleanup work of the potential hazard(s) identified.

5. The names and locations of suppliers of containment materials

and locations of additional fuel oil recovery, cleanup, restoration, and material-placement equipment available in case of an unforeseen spill emergency.

6. The methods and procedures to be used for expeditious contaminant cleanup.

k. A non-hazardous solid waste disposal plan identifying methods and locations for solid waste disposal including clearing debris. The plan shall include schedules for disposal. The Contractor shall identify any subcontractors responsible for the transportation and disposal of solid waste. Licenses or permits shall be submitted for solid waste disposal sites that are not a commercial operating facility. Evidence of the disposal facility's acceptance of the solid waste shall be attached to this plan during the construction.

l. A recycling and solid waste minimization plan with a list of measures to reduce consumption of energy and natural resources. The plan shall detail the Contractor's actions to comply with and to participate in Federal, State, Regional, and local government sponsored recycling programs to reduce the volume of solid waste at the source.

m. An air pollution control plan detailing provisions to assure that dust, debris, materials, trash, etc., do not become air borne and travel off the project site.

n. A contaminant prevention plan that: identifies potentially hazardous substances to be used on the job site; identifies the intended actions to prevent introduction of such materials into the air, water, or ground; and details provisions for compliance with Federal, State, and local laws and regulations for storage and handling of these materials. In accordance with EM 385-1-1, a copy of the Material Safety Data Sheets (MSDS) and the maximum quantity of each hazardous material to be on site at any given time shall be included in the contaminant prevention plan. As new hazardous materials are brought on site or removed from the site, the plan shall be updated.

o. A waste water management plan that identifies the methods and procedures for management and/or discharge of waste waters which are directly derived from construction activities, such as concrete curing water, clean-up water, dewatering of ground water, disinfection water, hydrostatic test water, and water used in flushing of lines. If a settling/retention pond is required, the plan shall include the design of the pond including drawings, removal plan, and testing requirements for possible pollutants. If land application will be the method of disposal for the waste water, the plan shall include a sketch showing the location for land application along with a description of the pretreatment methods to be implemented. If surface discharge will be the method of disposal, a copy of the permit and associated documents shall be included as an attachment prior to discharging the waste water. If disposal is to a sanitary sewer, the plan shall include documentation that the Waste Water Treatment Plant Operator has approved the flow rate, volume, and type of discharge.



p. A historical, archaeological, cultural resources biological resources and wetlands plan that defines procedures for identifying and protecting historical, archaeological, cultural resources, biological resources and wetlands known to be on the project site: and/or identifies procedures to be followed if historical archaeological, cultural resources, biological resources and wetlands not previously known to be onsite or in the area are discovered during construction. The plan shall include methods to assure the protection of known or discovered resources and shall identify lines of communication between Contractor personnel and the Contracting Officer.

q. A pesticide treatment plan shall be included and updated, as information becomes available. The plan shall include: sequence of treatment, dates, times, locations, pesticide trade name, EPA registration numbers, authorized uses, chemical composition, formulation, original and applied concentration, application rates of active ingredient (i.e. pounds of active ingredient applied), equipment used for application and calibration of equipment. The Contractor is responsible for Federal, State, Regional and Local pest management record keeping and reporting requirements.

#### 1.7.3 Appendix

Copies of all environmental permits, permit application packages, approvals to construct, notifications, certifications, reports, and termination documents shall be attached, as an appendix, to the Environmental Protection Plan.

#### 1.8 PROTECTION FEATURES

This paragraph supplements the Contract Clause PROTECTION OF EXISTING VEGETATION, STRUCTURES, EQUIPMENT, UTILITIES, AND IMPROVEMENTS. Prior to start of any onsite construction activities, the Contractor and the Contracting Officer shall make a joint condition survey. Immediately following the survey, the Contractor shall prepare a brief report including a plan describing the features requiring protection under the provisions of the Contract Clauses, which are not specifically identified on the drawings as environmental features requiring protection along with the condition of trees, shrubs and grassed areas immediately adjacent to the site of work and adjacent to the Contractor's assigned storage area and access route(s), as applicable. This survey report shall be signed by both the Contractor and the Contracting Officer upon mutual agreement as to its accuracy and completeness. The Contractor shall protect those environmental features included in the survey report and any indicated on the drawings, regardless of interference which their preservation may cause to the Contractor's work under the contract.

#### 1.9 ENVIRONMENTAL ASSESSMENT OF CONTRACT DEVIATIONS

Any deviations, requested by the Contractor, from the drawings, plans and specifications which may have an environmental impact will be subject to approval by the Contracting Officer and may require an extended review, processing, and approval time. The Contracting Officer reserves the right to disapprove alternate methods, even if they are more cost effective, if

the Contracting Officer determines that the proposed alternate method will have an adverse environmental impact.

#### 1.10 NOTIFICATION

The Contracting Officer will notify the Contractor in writing of any observed noncompliance with Federal, State or local environmental laws or regulations, permits, and other elements of the Contractor's Environmental Protection plan. The Contractor shall, after receipt of such notice, inform the Contracting Officer of the proposed corrective action and take such action when approved by the Contracting Officer. The Contracting Officer may issue an order stopping (suspending) all or part of the work until satisfactory corrective action has been taken. No time extensions shall be granted or equitable adjustments allowed to the Contractor for any such suspensions. This is in addition to any other actions the Contracting Officer may take under the contract, or in accordance with the Federal Acquisition Regulation or Federal Law.

#### PART 2 PRODUCTS (NOT USED)

#### PART 3 EXECUTION

##### 3.1 PERMITS

Permits obtained by the Government related to the work of this contract are attached in SECTION 00830: ATTACHMENTS, or referenced in SECTION 01000: GENERAL. The Contractor is responsible for obtaining all applicable permits or licenses(those not obtained by the Government). The Contractor shall be responsible for implementing the terms and requirements of the permits held by the Contractor or the Government. A copy of permits referenced in SECTION 01000: GENERAL are available for inspection in the Office of the District Engineer, Army Corps of Engineers Centre, 190 Fifth Street East, St. Paul, Minnesota 55101-1638.

##### 3.2 LAND RESOURCES

The Contractor shall confine all activities to areas defined by the drawings and specifications. Prior to the beginning of any construction, the Contractor shall identify any land resources to be preserved within the work area. Except in areas indicated on the drawings or specified to be cleared, the Contractor shall not remove, cut, deface, injure, or destroy land resources including trees, shrubs, vines, grasses, topsoil, and land forms without approval. No ropes, cables, or guys shall be fastened to or attached to any trees for anchorage unless specifically authorized. The Contractor shall provide effective protection for land and vegetation resources at all times as defined in the following subparagraphs. Stone, soil, or other materials displaced into uncleared areas shall be removed by the Contractor.

###### 3.2.1 Work Area Limits

Prior to commencing construction activities, the Contractor shall mark the

areas that need not be disturbed under this contract. Isolated areas within the general work area which are not to be disturbed shall be marked or fenced. Monuments and markers shall be protected before construction operations commence. Where construction operations are to be conducted during darkness, any markers shall be visible in the dark. The Contractor's personnel shall be knowledgeable of the purpose for marking and/or protecting particular objects.

#### 3.2.2 Landscape

Trees, shrubs, vines, grasses, land forms and other landscape features indicated and defined on the drawings to be preserved shall be clearly identified by marking, fencing, or wrapping with boards, or any other approved techniques. The Contractor shall restore landscape features damaged or destroyed during construction operations outside the limits of the approved work area.

#### 3.2.3 Erosion and Sediment Controls

The Contractor shall be responsible for providing erosion and sediment control measures in accordance with Federal, State, and local laws and regulations. The erosion and sediment controls selected and maintained by the Contractor shall be such that water quality standards are not violated as a result of the Contractor's construction activities. The area of bare soil exposed at any one time by construction operations should be kept to a minimum. The Contractor shall construct or install temporary and permanent erosion and sediment control best management practices (BMPs). BMPs may include, but not be limited to, vegetation cover, stream bank stabilization, slope stabilization, silt fences, construction of terraces, interceptor channels, sediment traps, inlet and outfall protection, diversion channels, and sedimentation basins. Any temporary measures shall be removed after the area has been stabilized.

#### 3.2.4 Contractor Facilities and Work Areas

The Contractor's field offices, staging areas, stockpile storage, and temporary buildings shall be placed in areas designated on the drawings or as directed by the Contracting Officer. Temporary movement or relocation of Contractor facilities shall be made only when approved. Erosion and sediment controls shall be provided for on-site borrow and spoil areas to prevent sediment from entering nearby waters. Temporary excavation and embankments for plant and/or work areas shall be controlled to protect adjacent areas.

### 3.3 WATER RESOURCES

The Contractor shall monitor construction activities to prevent pollution of surface and ground waters. Toxic or hazardous chemicals shall not be applied to soil or vegetation unless otherwise indicated. All water areas affected by construction activities shall be monitored by the Contractor. For construction activities immediately adjacent to impaired surface waters, the Contractor shall be capable of quantifying sediment or pollutant loading to that surface water when required by State or Federally issued Clean Water Act permits.

#### 3.3.1 Cofferdams, Diversions, and Dewatering Operations

Construction operations for dewatering, water return for hydraulic dredging, removal of cofferdams, tailrace excavation, and tunnel closure shall be controlled at all times to maintain compliance with existing State water quality standards and designated uses of the surface water body. The Contractor shall plan its operations and perform all work necessary to minimize adverse impact, such as water turbidity, on the habitat for wildlife and on water quality for downstream use.

#### 3.3.2 Stream Crossings

Stream crossings shall allow movement of materials or equipment without violating water pollution control standards of the Federal, State, and local governments.

#### 3.3.3 Wetlands

The Contractor shall not enter, disturb, destroy, or allow discharge of contaminants into any wetlands, unless authorized herein. The Contractor shall be responsible for the protection of wetlands shown on the drawings in accordance with paragraph ENVIRONMENTAL PERMITS, REVIEWS, AND APPROVALS.

Authorization to enter specific wetlands identified shall not relieve the Contractor from any obligation to protect other wetlands within, adjacent to, or in the vicinity of the construction site and associated boundaries.

#### 3.4 AIR RESOURCES

Equipment operation, activities, or processes performed by the Contractor shall be in accordance with all Federal and State air emission and performance laws and standards.

##### 3.4.1 Particulates

Dust particles; aerosols and gaseous by-products from construction activities; and processing and preparation of materials, such as from asphaltic batch plants; shall be controlled at all times, including weekends, holidays and hours when work is not in progress. The Contractor shall maintain excavations, stockpiles, haul roads, permanent and temporary access roads, plant sites, spoil areas, borrow areas, and other work areas within or outside the project boundaries free from particulates which would cause the Federal, State, and local air pollution standards to be exceeded or which would cause a hazard or a nuisance. Sprinkling, chemical treatment of an approved type, baghouse, scrubbers, electrostatic precipitators or other methods will be permitted to control particulates in the work area. Sprinkling, to be efficient, must be repeated to keep the disturbed area damp at all times. The Contractor must have sufficient, competent equipment available to accomplish these tasks. Particulate control shall be performed as the work proceeds and whenever a particulate nuisance or hazard occurs. The Contractor shall comply with all State and local visibility regulations.

##### 3.4.2 Odors

Odors from construction activities shall be controlled at all times. The odors shall not cause a health hazard and shall be in compliance with State regulations and/or local ordinances.

#### 3.4.3 Sound Intrusions

The Contractor shall keep construction activities under surveillance and control to minimize environment damage by noise. The Contractor shall comply with state rules.

### 3.5 CHEMICAL MATERIALS MANAGEMENT AND WASTE DISPOSAL

Disposal of wastes shall be as directed below, unless otherwise specified in other sections and/or shown on the drawings.

#### 3.5.1 Solid Wastes

Solid wastes (excluding dredge material and clearing debris) shall be placed in containers which are emptied on a regular schedule. Handling, storage, and disposal shall be conducted to prevent contamination. Segregation measures shall be employed so that no hazardous or toxic waste will become co-mingled with solid waste. The Contractor shall transport solid waste off Government property and dispose of it in compliance with Federal, State, and local requirements for solid waste disposal. A Subtitle D RCRA permitted landfill shall be the minimum acceptable off-site solid waste disposal option. The Contractor shall verify that the selected transporters and disposal facilities have the necessary permits and licenses to operate.

#### 3.5.2 Chemicals and Chemical Wastes

Chemicals shall be dispensed ensuring no spillage to the ground or water. Periodic inspections of dispensing areas to identify leakage and initiate corrective action shall be performed. Chemical waste shall be collected in corrosion resistant, compatible containers. Collection drums shall be monitored and removed to a staging or storage area when contents are within 6 inches of the top. Wastes shall be classified, managed, stored, and disposed of in accordance with Federal, State, and local laws and regulations.

#### 3.5.3 Contractor Generated Hazardous Wastes/Excess Hazardous Materials

Hazardous wastes are defined in 40 CFR 261, or are as defined by applicable State and local regulations. Hazardous materials are defined in 49 CFR 171 - 178. The Contractor shall, at a minimum, manage and store hazardous waste in compliance with 40 CFR 262. The Contractor shall take sufficient measures to prevent spillage of hazardous and toxic materials during dispensing. The Contractor shall segregate hazardous waste from other materials and wastes, shall protect it from the weather by placing it in a safe covered location, and shall take precautionary measures such as berming or other appropriate measures against accidental spillage. The Contractor shall be responsible for storage, describing, packaging, labeling, marking, and placarding of hazardous waste and hazardous material

in accordance with 49 CFR 171 - 178, State, and local laws and regulations.

The Contractor shall transport Contractor generated hazardous waste off Government property in accordance with the Environmental Protection Agency and the Department of Transportation laws and regulations. The Contractor shall dispose of hazardous waste in compliance with Federal, State and local laws and regulations. Spills of hazardous or toxic materials shall be immediately reported to the Contracting Officer. Cleanup and cleanup costs due to spills shall be the Contractor's responsibility. The disposition of Contractor generated hazardous waste and excess hazardous materials are the Contractor's responsibility.

#### 3.5.4 Fuel and Lubricants

Storage, fueling and lubrication of equipment and motor vehicles shall be conducted in a manner that affords the maximum protection against spill and evaporation. Fuel, lubricants and oil shall be managed and stored in accordance with all Federal, State, Regional, and local laws and regulations. Used lubricants and used oil to be discarded shall be stored in marked corrosion-resistant containers and recycled or disposed in accordance with 40 CFR 279, State, and local laws and regulations.

#### 3.5.5 Waste Water

Waste water from construction activities, such as onsite material processing, concrete curing, foundation and concrete clean-up, water used in concrete trucks, forms, etc. shall not be allowed to enter water ways.

#### 3.6 RECYCLING AND WASTE MINIMIZATION

The Contractor shall participate in State and local government sponsored recycling programs.

#### 3.7 HISTORICAL, ARCHAEOLOGICAL, AND CULTURAL RESOURCES

Existing historical, archaeological, and cultural resources within the Contractor's work area are shown on the drawings, or will be designated by the Contracting Officer, if any have been identified. The Contractor shall protect these resources and shall be responsible for their preservation during the life of the Contract. If during excavation or other construction activities any previously unidentified or unanticipated historical, archaeological, and cultural resources are discovered or found, all activities that may damage or alter such resources shall be temporarily suspended. Resources covered by this paragraph include but are not limited to: any human skeletal remains or burials; artifacts; shell, midden, bone, charcoal, or other deposits; rock or coral alignments, pavings, wall, or other constructed features; and any indication of agricultural or other human activities. Upon such discovery or find, the Contractor shall immediately notify the Contracting Officer so that the appropriate authorities may be notified and a determination made as to their significance and what, if any, special disposition of the finds should be made. The Contractor shall cease all activities that may result in impact to or the destruction of these resources. The Contractor shall secure the area and prevent employees or other persons from trespassing on, removing, or otherwise disturbing such resources.

### 3.8 BIOLOGICAL RESOURCES

The Contractor shall minimize interference with, disturbance to, and damage to fish, wildlife, and plants including their habitat. The Contractor shall be responsible for the protection of threatened and endangered animal and plant species including their habitat in accordance with Federal, State, Regional, and local laws and regulations.

### 3.9 PESTICIDES

#### 3.9.1 Pesticide Delivery and Storage

Pesticides shall be delivered to the site in the original, unopened containers bearing legible labels indicating the EPA registration number and the manufacturer's registered uses. Pesticides shall be stored according to manufacturer's instructions and under lock and key when unattended.

#### 3.9.2 Qualifications

For the application of pesticides, the Contractor shall use the services of a subcontractor whose principal business is pest control. The subcontractor shall be licensed and certified in the state where the work is to be performed.

#### 3.9.3 Pesticide Handling Requirements

The Contractor shall formulate, treat with, and dispose of pesticides and associated containers in accordance with label directions and shall use the clothing and personal protective equipment specified on the labeling for use during all phases of the application. Material Safety Data Sheets (MSDS) shall be available for all pesticide products.

#### 3.9.4 Application

Pesticides shall be applied by a State Certified Pesticide Applicator in accordance with EPA label restrictions and recommendation. The Certified Applicator shall wear clothing and personal protective equipment as specified on the pesticide label. Water used for formulating shall only come from locations designated by the Contracting Officer. The Contractor shall not allow the equipment to overflow. Prior to application of pesticide, all equipment shall be inspected for leaks, clogging, wear, or damage and shall be repaired prior to being used.

### 3.10 PREVIOUSLY USED EQUIPMENT

The Contractor shall clean all previously used construction equipment prior to bringing it onto the project site. The Contractor shall ensure that the equipment is free from soil residuals, egg deposits from plant pests, noxious weeds, and plant seeds. The Contractor shall consult with the USDA jurisdictional office for additional cleaning requirements.

### 3.11 MAINTENANCE OF POLLUTION FACILITIES

The Contractor shall maintain permanent and temporary pollution control facilities and devices for the duration of the contract or for that length of time construction activities create the particular pollutant.

### 3.12 TRAINING OF CONTRACTOR PERSONNEL

The Contractor's personnel shall be trained in all phases of environmental protection and pollution control. The Contractor shall conduct environmental protection/pollution control meetings for all Contractor personnel prior to commencing construction activities. Additional meetings shall be conducted for new personnel and when site conditions change. The training and meeting agenda shall include: methods of detecting and avoiding pollution; familiarization with statutory and contractual pollution standards; installation and care of devices, vegetative covers, and instruments required for monitoring purposes to ensure adequate and continuous environmental protection/pollution control; anticipated hazardous or toxic chemicals or wastes, and other regulated contaminants; recognition and protection of archaeological sites, artifacts, wetlands, and endangered species and their habitat that are known to be in the area.

### 3.13 POST CONSTRUCTION CLEANUP

The Contractor shall clean up all areas used for construction in accordance with Contract Clause: "Cleaning Up". The Contractor shall, unless otherwise instructed in writing by the Contracting Officer, obliterate all signs of temporary construction facilities such as haul roads, work area, structures, foundations of temporary structures, stockpiles of excess or waste materials, and other vestiges of construction prior to final acceptance of the work. The disturbed area shall be graded, filled and the entire area seeded unless otherwise indicated.

-- End of Section --



SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01451

CONTRACTOR QUALITY CONTROL

PART 1 GENERAL

- 1.1 REFERENCES
- 1.2 PAYMENT

PART 2 PRODUCTS (Not Applicable)

PART 3 EXECUTION

- 3.1 GENERAL REQUIREMENTS
- 3.2 QUALITY CONTROL PLAN
  - 3.2.1 General
  - 3.2.2 Content of the CQC Plan
  - 3.2.3 Acceptance of Plan
  - 3.2.4 Notification of Changes
- 3.3 COORDINATION MEETING
- 3.4 QUALITY CONTROL ORGANIZATION
  - 3.4.1 Personnel Requirements
  - 3.4.2 CQC System Manager
  - 3.4.3 Additional Requirement
  - 3.4.4 Organizational Changes
- 3.5 SUBMITTALS AND DELIVERABLES
- 3.6 CONTROL
  - 3.6.1 Preparatory Phase
  - 3.6.2 Initial Phase
  - 3.6.3 Follow-up Phase
  - 3.6.4 Additional Preparatory and Initial Phases
- 3.7 TESTS
  - 3.7.1 Testing Procedure
  - 3.7.2 Testing Laboratories
    - 3.7.2.1 Capability Check
    - 3.7.2.2 Capability Recheck
  - 3.7.3 Onsite Laboratory
  - 3.7.4 Furnishing or Transportation of Samples for Testing
- 3.8 COMPLETION INSPECTION
  - 3.8.1 Punch-Out Inspection
  - 3.8.2 Pre-Final Inspection
  - 3.8.3 Final Acceptance Inspection
- 3.9 DOCUMENTATION
- 3.10 SAMPLE FORMS
- 3.11 NOTIFICATION OF NONCOMPLIANCE

-- End of Section Table of Contents --

## SECTION 01451

### CONTRACTOR QUALITY CONTROL

#### PART 1 GENERAL

##### 1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

##### AMERICAN SOCIETY FOR TESTING AND MATERIALS (ASTM)

ASTM D 3740	(1999) Minimum Requirements for Agencies Engaged in the Testing and/or Inspection of Soil and Rock as Used in Engineering Design and Construction
ASTM E 329	(1998) Agencies Engaged in the Testing and/or Inspection of Materials Used in Construction

##### 1.2 PAYMENT

The Contractor shall be responsible for the work for the work of this section, without any direct compensation being made other than the payment received for contract items.

#### PART 2 PRODUCTS (Not Applicable)

#### PART 3 EXECUTION

##### 3.1 GENERAL REQUIREMENTS

The Contractor is responsible for quality control and shall establish and maintain an effective quality control system in compliance with the Contract Clause titled "Inspection of Construction." The quality control system shall consist of plans, procedures, and organization necessary to produce an end product which complies with the contract requirements. The system shall cover all construction operations, both onsite and offsite, and shall be keyed to the proposed construction sequence. The site project superintendent will be held responsible for the quality of work on the job and is subject to removal by the Contracting Officer for non-compliance with the quality requirements specified in the contract. The site project superintendent in this context shall be the highest level manager responsible for the overall construction activities at the site, including quality and production. The site project superintendent shall maintain a physical presence at the site at all times, except as otherwise acceptable to the Contracting Officer, and shall be responsible for all construction

and construction related activities at the site.

### 3.2 QUALITY CONTROL PLAN

#### 3.2.1 General

The Contractor shall furnish for review by the Government, not later than 15 days after receipt of notice to proceed, the Contractor Quality Control (CQC) Plan proposed to implement the requirements of the Contract Clause titled "Inspection of Construction." The plan shall identify personnel, procedures, control, instructions, tests, records, and forms to be used. The Government will consider an interim plan for the first 30 days of operation. Construction will be permitted to begin only after acceptance of the CQC Plan or acceptance of an interim plan applicable to the particular feature of work to be started. Work outside of the features of work included in an accepted interim plan will not be permitted to begin until acceptance of a CQC Plan or another interim plan containing the additional features of work to be started.

#### 3.2.2 Content of the CQC Plan

The CQC Plan shall include, as a minimum, the following to cover all construction operations, both onsite and offsite, including work by subcontractors, fabricators, suppliers, and purchasing agents:

- a. A description of the quality control organization, including a chart showing lines of authority and acknowledgment that the CQC staff shall implement the three phase control system for all aspects of the work specified. The staff shall include a CQC System Manager who shall report to the project superintendent or someone higher in the Contractor's organization.
- b. The name, qualifications (in resume format), duties, responsibilities, and authorities of each person assigned a CQC function.
- c. A copy of the letter to the CQC System Manager signed by an authorized official of the firm which describes the responsibilities and delegates sufficient authorities to adequately perform the functions of the CQC System Manager, including authority to stop work which is not in compliance with the contract. The CQC System Manager shall issue letters of direction to all other various quality control representatives outlining duties, authorities, and responsibilities. Copies of these letters shall also be furnished to the Government.
- d. Procedures for scheduling, reviewing, certifying, and managing submittals, including those of subcontractors, offsite fabricators, suppliers, and purchasing agents. These procedures shall be in accordance with Section 01330 SUBMITTAL PROCEDURES.
- e. Control, verification, and acceptance testing procedures for each specific test to include the test name, specification paragraph requiring test, feature of work to be tested, test frequency, and

person responsible for each test. (Laboratory facilities will be approved by the Contracting Officer.)

- f. Procedures for tracking preparatory, initial, and follow-up control phases and control, verification, and acceptance tests including documentation.
- g. Procedures for tracking construction deficiencies from identification through acceptable corrective action. These procedures shall establish verification that identified deficiencies have been corrected.
- h. Reporting procedures, including proposed reporting formats.
- i. A list of the definable features of work. A definable feature of work is a task which is separate and distinct from other tasks, has separate control requirements, and may be identified by different trades or disciplines, or it may be work by the same trade in a different environment. Although each section of the specifications may generally be considered as a definable feature of work, there are frequently more than one definable features under a particular section. This list will be agreed upon during the coordination meeting.

#### 3.2.3 Acceptance of Plan

Acceptance of the Contractor's plan is required prior to the start of construction. Acceptance is conditional and will be predicated on satisfactory performance during the construction. The Government reserves the right to require the Contractor to make changes in his CQC Plan and operations including removal of personnel, as necessary, to obtain the quality specified.

#### 3.2.4 Notification of Changes

After acceptance of the CQC Plan, the Contractor shall notify the Contracting Officer in writing of any proposed change. Proposed changes are subject to acceptance by the Contracting Officer.

#### 3.3 COORDINATION MEETING

After the Preconstruction Conference, before start of construction, and prior to acceptance by the Government of the CQC Plan, the Contractor shall meet with the Contracting Officer or Authorized Representative and discuss the Contractor's quality control system. The CQC Plan shall be submitted for review a minimum of 10 calendar days prior to the Coordination Meeting.

During the meeting, a mutual understanding of the system details shall be developed, including the forms for recording the CQC operations, control activities, testing, administration of the system for both onsite and offsite work, and the interrelationship of Contractor's Management and control with the Government's Quality Assurance. Minutes of the meeting shall be prepared by the Government and signed by both the Contractor and the Contracting Officer. The minutes shall become a part of the contract file. There may be occasions when subsequent conferences will be called by

either party to reconfirm mutual understandings and/or address deficiencies in the CQC system or procedures which may require corrective action by the Contractor.

### 3.4 QUALITY CONTROL ORGANIZATION

#### 3.4.1 Personnel Requirements

The requirements for the CQC organization are a CQC System Manager and sufficient number of additional qualified personnel to ensure safety and contract compliance. The Safety and Health Manager shall receive direction and authority from the CQC System Manager and shall serve as a member of the CQC staff. The Contractor's CQC staff shall maintain a presence at the site at all times during progress of the work and have complete authority and responsibility to take any action necessary to ensure contract compliance. The CQC staff shall be subject to acceptance by the Contracting Officer. The Contractor shall provide adequate office space, filing systems and other resources as necessary to maintain an effective and fully functional CQC organization. Complete records of all letters, material submittals, shop drawing submittals, schedules and all other project documentation shall be maintained at the site at all times, except as otherwise acceptable to the Contracting Officer.

#### 3.4.2 CQC System Manager

The Contractor shall identify as CQC System Manager an individual within the onsite work organization who shall be responsible for overall management of CQC and have the authority to act in all CQC matters for the Contractor. The CQC System Manager shall be a person with a minimum of 5 years experience in related duties on construction work. This CQC System Manager shall be on the site at all times during construction and shall be employed by the prime Contractor. The CQC System Manager shall be assigned as System Manager, and shall have no other duties in addition to quality control. An alternate for the CQC System Manager shall be identified in the plan to serve in the event of the System Manager's absence. The requirements for the alternate shall be the same as for the designated CQC System Manager.

#### 3.4.3 Additional Requirement

In addition to the above qualifications, the CQC System Manager shall have completed the course entitled "Construction Quality Management For Contractors". This course is periodically offered through the Government in the Minneapolis - St. Paul, Minnesota metropolitan area.

#### 3.4.4 Organizational Changes

The Contractor shall maintain the CQC staff at full strength at all times. When it is necessary to make changes to the CQC staff, the Contractor shall revise the CQC Plan to reflect the changes and submit the changes to the Contracting Officer for acceptance.

### 3.5 SUBMITTALS AND DELIVERABLES

Submittals, if needed, shall be made as specified in Section 01330 SUBMITTAL PROCEDURES. The CQC organization shall be responsible for certifying that all submittals and deliverables are in compliance with the contract requirements.

### 3.6 CONTROL

Contractor Quality Control is the means by which the Contractor ensures that the construction, to include that of subcontractors and suppliers, complies with the requirements of the contract. At least three phases of control shall be conducted by the CQC System Manager for each definable feature of work as follows:

#### 3.6.1 Preparatory Phase

This phase shall be performed prior to beginning work on each definable feature of work, after all required plans/documents/materials are approved/accepted, and after copies are at the work site. This phase shall include:

- a. A review of each paragraph of applicable specifications, reference codes, and standards. A copy of those sections of referenced codes and standards applicable to that portion of the work to be accomplished in the field shall be made available by the Contractor at the preparatory inspection. These copies shall be maintained in the field and available for use by Government personnel until final acceptance of the work.
- b. A review of the contract drawings.
- c. A check to assure that all materials and/or equipment have been tested, submitted, and approved.
- d. Review of provisions that have been made to provide required control inspection and testing.
- e. Examination of the work area to assure that all required preliminary work has been completed and is in compliance with the contract.
- f. A physical examination of required materials, equipment, and sample work to assure that they are on hand, conform to approved shop drawings or submitted data, and are properly stored.
- g. A review of the appropriate activity hazard analysis to assure safety requirements are met.
- h. Discussion of procedures for controlling quality of the work including repetitive deficiencies. Document construction tolerances and workmanship standards for that feature of work.
- i. A check to ensure that the portion of the plan for the work to be performed has been accepted by the Contracting Officer.

- j. Discussion of the initial control phase.
- k. The Government shall be notified at least 48 hours in advance of beginning the preparatory control phase. This phase shall include a meeting conducted by the CQC System Manager and attended by the superintendent, other CQC personnel (as applicable), and the foreman responsible for the definable feature. The results of the preparatory phase actions shall be documented by separate minutes prepared by the CQC System Manager and attached to the daily CQC report. The Contractor shall instruct applicable workers as to the acceptable level of workmanship required in order to meet contract specifications.

#### 3.6.2 Initial Phase

This phase shall be accomplished at the beginning of a definable feature of work. The following shall be accomplished:

- a. A check of work to ensure that it is in full compliance with contract requirements. Review minutes of the preparatory meeting.
- b. Verify adequacy of controls to ensure full contract compliance. Verify required control inspection and testing.
- c. Establish level of workmanship and verify that it meets minimum acceptable workmanship standards. Compare with required sample panels as appropriate.
- d. Resolve all differences.
- e. Check safety to include compliance with and upgrading of the safety plan and activity hazard analysis. Review the activity analysis with each worker.
- f. The Government shall be notified at least 48 hours in advance of beginning the initial phase. Separate minutes of this phase shall be prepared by the CQC System Manager and attached to the daily CQC report. Exact location of initial phase shall be indicated for future reference and comparison with follow-up phases.
- g. The initial phase should be repeated for each new crew to work onsite, or any time acceptable specified quality standards are not being met.

#### 3.6.3 Follow-up Phase

Daily checks shall be performed to assure control activities, including control testing, are providing continued compliance with contract requirements, until completion of the particular feature of work. The checks shall be made a matter of record in the CQC documentation. Final follow-up checks shall be conducted and all deficiencies corrected prior to the start of additional features of work which may be affected by the deficient work. The Contractor shall not build upon nor conceal non-conforming work.



#### 3.6.4 Additional Preparatory and Initial Phases

Additional preparatory and initial phases shall be conducted on the same definable features of work if: the quality of on-going work is unacceptable; if there are changes in the applicable CQC staff, onsite production supervision or work crew; if work on a definable feature is resumed after a substantial period of inactivity; or if other problems develop.

### 3.7 TESTS

#### 3.7.1 Testing Procedure

The Contractor shall perform specified or required tests to verify that control measures are adequate to provide a product which conforms to contract requirements. Upon request, the Contractor shall furnish to the Government duplicate samples of test specimens for possible testing by the Government. Testing includes operation and/or acceptance tests when specified. The Contractor shall procure the services of a testing laboratory meeting the requirements listed under PARAGRAPH: CAPABILITY CHECK, or establish a testing laboratory at the project site meeting those requirements. The Contractor shall perform the following activities and record and provide the following data:

- a. Verify that testing procedures comply with contract requirements.
- b. Verify that facilities and testing equipment are available and comply with testing standards.
- c. Check test instrument calibration data against certified standards.
- d. Verify that recording forms and test identification control number system, including all of the test documentation requirements, have been prepared.
- e. Results of all tests taken, both passing and failing tests, shall be recorded on the CQC report for the date taken. Specification paragraph reference, location where tests were taken, and the sequential control number identifying the test shall be given. If approved by the Contracting Officer, actual test reports may be submitted later with a reference to the test number and date taken. An information copy of tests performed by an offsite or commercial test facility shall be provided directly to the Contracting Officer. Failure to submit timely test reports as stated may result in nonpayment for related work performed and disapproval of the test facility for this contract.

#### 3.7.2 Testing Laboratories

##### 3.7.2.1 Capability Check

The Government reserves the right to check laboratory equipment in the proposed laboratory for compliance with the standards set forth in the

contract specifications and to check the laboratory technician's testing procedures and techniques. Laboratories utilized for testing soils, concrete, asphalt, and steel shall meet criteria detailed in ASTM D 3740 and ASTM E 329. The Contractor shall submit a Quality Management Manual meeting the requirements of ASTM D 3740 and ASTM E 329 for each laboratory to be used, including on-site project laboratories.

#### 3.7.2.2 Capability Recheck

If the selected laboratory fails the capability check, the Contractor will be assessed a charge of \$1000.00 to reimburse the Government for each succeeding recheck of the laboratory or the checking of a subsequently selected laboratory. Such costs will be deducted from the contract amount due the Contractor.

#### 3.7.3 Onsite Laboratory

The Government reserves the right to utilize the Contractor's control testing laboratory and equipment to make assurance tests and to check the Contractor's testing procedures, techniques, and test results at no additional cost to the Government.

#### 3.7.4 Furnishing or Transportation of Samples for Testing

Costs incidental to the transportation of samples or materials shall be borne by the Contractor. Samples of materials for test verification and acceptance testing by the Government shall be delivered to the Contracting Officer. Coordination for each specific test, exact delivery location, and dates will be made with the Contracting Officer.

### 3.8 COMPLETION INSPECTION

#### 3.8.1 Punch-Out Inspection

Near the end of the work, or any increment of the work established by a time stated in the Special Clause, "Commencement, Prosecution, and Completion of Work", or by the specifications, the CQC Manager shall conduct an inspection of the work. A punch list of items which do not conform to the approved drawings and specifications shall be prepared and included in the CQC documentation, as required by paragraph DOCUMENTATION. The list of deficiencies shall include the estimated date by which the deficiencies will be corrected. The CQC System Manager or staff shall make a second inspection to ascertain that all deficiencies have been corrected.

Once this is accomplished, the Contractor shall notify the Government that the facility is ready for the Government Pre-Final inspection.

#### 3.8.2 Pre-Final Inspection

The Government will perform the pre-final inspection to verify that the facility is complete and ready to be occupied. A Government Pre-Final Punch List may be developed as a result of this inspection. The Contractor's CQC System Manager shall ensure that all items on this list have been corrected before notifying the Government, so that a Final inspection with the customer can be scheduled. Any items noted on the Pre-Final inspection shall be corrected in a timely manner. These

inspections and any deficiency corrections required by this paragraph shall be accomplished within the time slated for completion of the entire work or any particular increment of the work if the project is divided into increments by separate completion dates.

### 3.8.3 Final Acceptance Inspection

The Contractor's Quality Control Inspection personnel, plus the superintendent or other primary management person, and the Contracting Officer's Representative shall be in attendance the final acceptance inspection. Additional Government personnel including, but not limited to, those from Base/Post Civil Facility Engineer user groups, and major commands may also be in attendance. The final acceptance inspection will be formally scheduled by the Contracting Officer based upon results of the Pre-Final inspection. Notice shall be given to the Contracting Officer at least 14 days prior to the final acceptance inspection and shall include the Contractor's assurance that all specific items previously identified to the Contractor as being unacceptable, along with all remaining work performed under the contract, will be complete and acceptable by the date scheduled for the final acceptance inspection. Failure of the Contractor to have all contract work acceptably complete for this inspection will be cause for the Contracting Officer to bill the Contractor for the Government's additional inspection cost in accordance with the contract clause titled "Inspection of Construction".

### 3.9 DOCUMENTATION

The Contractor shall maintain current records providing factual evidence that required quality control activities and/or tests have been performed. These records shall include the work of subcontractors and suppliers and shall be on an acceptable form that includes, as a minimum, the following information:

- a. Contractor/subcontractor and their area of responsibility.
- b. Operating plant/equipment with hours worked, idle, or down for repair.
- c. Work performed each day, giving location, description, and by whom. When Network Analysis (NAS) is used, identify each phase of work performed each day by NAS activity number.
- d. Test and/or control activities performed with results and references to specifications/drawings requirements. The control phase shall be identified (Preparatory, Initial, Follow-up). List of deficiencies noted, along with corrective action.
- e. Quantity of materials received at the site with statement as to acceptability, storage, and reference to specifications/drawings requirements.
- f. Submittals and deliverables reviewed, with contract reference, by whom, and action taken.

- g. Off-site surveillance activities, including actions taken.
- h. Job safety evaluations stating what was checked, results, and instructions or corrective actions.
- i. Instructions given/received and conflicts in plans and/or specifications.
- j. Contractor's verification statement.

These records shall indicate a description of trades working on the project; the number of personnel working; weather conditions encountered; and any delays encountered. These records shall cover both conforming and deficient features and shall include a statement that equipment and materials incorporated in the work and workmanship comply with the contract. The original and one copy of these records in report form shall be furnished to the Government daily within 24 hours after the date covered by the report, except that reports need not be submitted for days on which no work is performed. As a minimum, one report shall be prepared and submitted for every 7 days of no work and on the last day of a no work period. All calendar days shall be accounted for throughout the life of the contract. The first report following a day of no work shall be for that day only. Reports shall be signed and dated by the CQC System Manager. The report from the CQC System Manager shall include copies of test reports and copies of reports prepared by all subordinate quality control personnel.

### 3.10 SAMPLE FORMS

The following sample forms are enclosed at the end of this section:

- a. Construction Quality Control Management Report
- b. CQC Report
- c. Preparatory Phase Checklist
- d. Initial Phase Checklist

### 3.11 NOTIFICATION OF NONCOMPLIANCE

The Contracting Officer will notify the Contractor of any detected noncompliance with the foregoing requirements. The Contractor shall take immediate corrective action after receipt of such notice. Such notice, when delivered to the Contractor at the work site, shall be deemed sufficient for the purpose of notification. If the Contractor fails or refuses to comply promptly, the Contracting Officer may issue an order stopping all or part of the work until satisfactory corrective action has been taken. No part of the time lost due to such stop orders shall be made the subject of claim for extension of time or for excess costs or damages by the Contractor.

-- End of Section --



CONSTRUCTION QUALITY CONTROL MANAGEMENT REPORT

Contractor Production

Contractor's Name

\_\_\_\_\_

Daily Report No: \_\_\_\_\_

Date: \_\_\_\_\_

Contract No.: \_\_\_\_\_

Project Title & Location: \_\_\_\_\_

Weather: \_\_\_\_\_ Precipitation: \_\_\_\_\_ in. Temp.: \_\_\_\_\_ Min. \_\_\_\_\_ Max.

1. Contract/Subcontractors and Area of Responsibility:

NUMBER:	TRADE	:	HOURS	:	EMPLOYER	:	LOCATION/DESCRIPTION OF WORK
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	
:	:	:	:	:	:	:	

2. Operating Plant or Equipment. (Not hand tools)

Plant/Equipment	Date of Arrival/Departure	Date of Safety Check	Hours Used	Hours Idle	Hours Repair
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

CQC Report

1. Work performed today: (Indicate location and description of work performed by prime and/or subcontractors by letter in table above).

---

---

---

---

---

---

---

---

2. Results of control activities: (Indicate whether P - Preparatory, I - Initial, or F - Follow-up Phase. When a P or I meeting is conducted, complete attachment 1-A or 1-B, respectively. When network analysis system is used, identify work by use of I-J numbers)

---

---

---

---

---

---

---

---

3. Test performed as required by plans and/or specifications:

---

---

---

---

---

---

---

---

4. Material received:

---

---

---

---

---

---

---

---

CQC Report (Cont'd)

5. Submittals Reviewed:

(a) Submittal No.	(b) Spec/Plan Reference	(c) By Whom	(d) Action
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

6. Off-site surveillance activities, including action taken:

---

---

---

---

---

---

---

---

7. Job safety: (Report violations; Corrective instructions given; Corrective actions taken).

---

---

---

---

---

---

---

---

8. Remarks: (Instructions received or given. Conflict(s) in Plans and/or Specifications)

---

---

---

---

---

---

---

---

Contractor's Verification: On behalf of the Contractor, I certify this report is complete and correct, and all materials and equipment used and work performed during this reporting period are in compliance with the contract plans and specifications, to the best of my knowledge, except as noted above.

\_\_\_\_\_  
CQC System Manager





PREPARATORY PHASE CHECKLIST

Contract No.: \_\_\_\_\_ Date: \_\_\_\_\_  
Definable Feature: \_\_\_\_\_ Spec Section: \_\_\_\_\_

Government Rep Notified \_\_\_\_\_ Hours in Advance Yes \_\_\_\_ No \_\_\_\_

I. Personnel Present.

	Name	Position	Company/Government
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____
7.	_____	_____	_____

(List additional personnel on reverse side)

II. Submittals.

1. Review submittals and/or submittal log 4288. Have all submittals been approved? Yes \_\_\_\_ No \_\_\_\_

If No, what items have not been submitted?

a. \_\_\_\_\_  
b. \_\_\_\_\_  
c. \_\_\_\_\_  
2. Are all materials on hand? Yes \_\_\_\_ No \_\_\_\_  
a. \_\_\_\_\_  
b. \_\_\_\_\_  
c. \_\_\_\_\_

3. Check approved submittals against delivered material. (This should be done as material arrives).

Comments: \_\_\_\_\_

III. Material Storage.

Are materials stored properly? Yes \_\_\_\_ No \_\_\_\_

If No, what action is taken?

Preparatory Phase Checklist (Cont'd)

IV. Specifications.

1. Review each paragraph of specifications.

---

---

---

2. Discuss procedure for accomplishing the work.

---

---

---

---

---

3. Clarify any differences.

---

---

---

---

---

V. Preliminary Work.

Ensure preliminary work is correct.

If not, what action is taken? \_\_\_\_\_

---

VI. Testing.

1. Identify test to be performed, frequency, and by whom.

2. When required? \_\_\_\_\_

3. Where required? \_\_\_\_\_

4. Review Testing Plan. \_\_\_\_\_

5. Has test facilities been approved? \_\_\_\_\_

VII. Safety.

1. Review applicable portion of EM 385-1-1. \_\_\_\_\_

---

2. Activity Hazard Analysis approved? Yes \_\_\_\_\_ No \_\_\_\_\_

VIII. Corps of Engineers comments during meeting.

---

---

---

\_\_\_\_\_  
CQC System Manager

INITIAL PHASE CHECKLIST

Contract No.: \_\_\_\_\_ Date: \_\_\_\_\_

Definable Feature: \_\_\_\_\_

Government Rep Notified: \_\_\_\_\_ Hours in Advance Yes \_\_\_\_\_ No \_\_\_\_\_

I. Personnel Present:

	Name	Position	Company/Government
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____
6.	_____	_____	_____

(List additional personnel on reverse side)

II. Identify full compliance with procedures identified at preparatory.  
Coordinate plans, specifications, and submittals.

Comments: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

III. Preliminary Work. Ensure preliminary work is complete and correct.  
If not, what action is taken? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

IV. Establish Level of Workmanship.

1. Where is work located? \_\_\_\_\_
2. Is a sample panel required? Yes \_\_\_\_\_ No \_\_\_\_\_
3. Will the initial work be considered as a sample? Yes \_\_\_\_\_ No \_\_\_\_\_  
(If yes, maintain in present condition as long as possible).

V. Resolve any Differences.

Comments: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Review job conditions using EM 385-1-1 and job hazard analysis.

Comments: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
CQC System Manager



SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01500

TEMPORARY CONSTRUCTION FACILITIES

PART 1 GENERAL

- 1.1 SUBMITTALS
- 1.2 AVAILABILITY AND USE OF UTILITY SERVICES
  - 1.2.1 Temporary Electrical Facilities
  - 1.2.2 Sanitation
  - 1.2.3 Telephone
- 1.3 PROTECTION AND MAINTENANCE OF TRAFFIC
  - 1.3.1 Haul Roads
  - 1.3.2 Barricades
- 1.4 CONTRACTOR'S TEMPORARY FACILITIES
  - 1.4.1 Administrative Field Offices
  - 1.4.2 Staging Area
- 1.5 PLANT COMMUNICATION
- 1.6 TEMPORARY PROJECT SAFETY FENCING

PART 2 PRODUCTS

- 2.1 BULLETIN BOARD, PROJECT SIGN, AND PROJECT SAFETY SIGN
  - 2.1.1 Bulletin Board
  - 2.1.2 Project and Safety Signs
- 2.2 GOVERNMENT FIELD OFFICE
  - 2.2.1 Location
  - 2.2.2 Construction
  - 2.2.3 Utilities.
  - 2.2.4 Furnishings
  - 2.2.5 Furniture
  - 2.2.6 Maintenance.

PART 3 EXECUTION

- 3.1 CLEANUP
- 3.2 RESTORATION OF STORAGE AREA

-- End of Section Table of Contents --

## SECTION 01500

### TEMPORARY CONSTRUCTION FACILITIES

#### PART 1 GENERAL

##### 1.1 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

###### SD-02 Shop Drawings

###### Site Plan;

The Contractor shall prepare a site plan indicating the proposed location and dimensions of any area to be fenced and used by the Contractor, the number of trailers to be used, avenues of ingress/egress to the fenced area and details of the fence installation. Any areas which may have to be graveled to prevent the tracking of mud shall also be identified. The Contractor shall also indicate if the use of a supplemental or other staging area is desired.

###### Government Field Office;

The Contractor shall submit a preliminary plan and description of the mobile office facilities which it proposes to furnish prior to proceeding with procurement thereof.

##### 1.2 AVAILABILITY AND USE OF UTILITY SERVICES

###### 1.2.1 Temporary Electrical Facilities

The Contractor shall be responsible for coordination and costs for electrical power required for the Contractor's operations, including all costs for utility company hookup, installation/dismantling of transformers and distribution lines. In general, the Contractor shall establish its own service connection with the utility company. If the Contractor proposes to use an existing Government service connection, a request shall be submitted for approval to verify the Contractor's use will not interfere with operation of the facilities, and the monthly service fees will be paid for in whole (including Government power consumption) by the Contractor.

###### 1.2.2 Sanitation

The Contractor shall provide and maintain within the construction area field-type sanitary facilities in accordance with EM 385-1-1. These facilities shall include but not be limited to toilet, washing, and drinking water facilities.

#### 1.2.3 Telephone

The Contractor shall make arrangements and pay all costs for their telephone facilities desired. Government personnel will not take or deliver messages for the Contractor.

### 1.3 PROTECTION AND MAINTENANCE OF TRAFFIC

During construction the Contractor shall provide access and temporary relocated roads as necessary to maintain traffic. The Contractor shall maintain and protect traffic on all affected roads during the construction period except as otherwise specifically directed by the Contracting Officer. Measures for the protection and diversion of traffic, including the provision of watchmen and flagmen, erection of barricades, placing of lights around and in front of equipment and the work, and the erection and maintenance of adequate warning, danger, and direction signs, shall be as required by the State and local authorities having jurisdiction. The traveling public shall be protected from damage to person and property. The Contractor's traffic on roads selected for hauling material to and from the site shall interfere as little as possible with public traffic. The Contractor shall investigate the adequacy of existing roads and the allowable load limit on these roads.

#### 1.3.1 Haul Roads

The Contractor shall, at its own expense, construct access and haul roads necessary for proper prosecution of the work under this contract. Haul roads shall be constructed with suitable grades and widths; sharp curves, blind corners, and dangerous cross traffic shall be avoided. The Contractor shall provide necessary lighting, signs, barricades, and distinctive markings for the safe movement of traffic. The method of dust control, although optional, shall be adequate to ensure safe operation at all times. Location, grade, width, and alignment of construction and hauling roads shall be subject to approval by the Contracting Officer. Lighting shall be adequate to assure full and clear visibility for full width of haul road and work areas during any night work operations. Upon completion of the work, haul roads designated by the Contracting Officer shall be removed.

#### 1.3.2 Barricades

The Contractor shall erect and maintain temporary barricades to limit public access to hazardous areas. Such barricades shall be required whenever safe public access to paved areas such as roads, parking areas or sidewalks is prevented by construction activities or as otherwise necessary to ensure the safety of both pedestrian and vehicular traffic. Barricades shall be securely placed, clearly visible with adequate illumination to provide sufficient visual warning of the hazard during both day and night.



#### 1.4 CONTRACTOR'S TEMPORARY FACILITIES

##### 1.4.1 Administrative Field Offices

The Contractor shall provide and maintain administrative field office facilities within the construction area at the designated site. Government office and warehouse facilities will not be available to the Contractor's personnel.

##### 1.4.2 Staging Area

The boundary limits of the grounds made available for the Contractor's use during the life of the contract are shown on the drawings as Work Limits. Trailers, materials, or equipment shall not be placed or stored outside the work limits.

#### 1.5 PLANT COMMUNICATION

Whenever the Contractor has the individual elements of its plant so located that operation by normal voice between these elements is not satisfactory, the Contractor shall install a satisfactory means of communication, such as telephone or other suitable devices. The devices shall be made available for use by Government personnel.

#### 1.6 TEMPORARY PROJECT SAFETY FENCING

As soon as practicable, but not later than 15 days after the date established for commencement of work, the Contractor shall furnish and erect temporary project safety fencing at the Upper East Channel. The fence shall be located along the work limits on both sides of the channel, extending from the Highway 10 right of way to the Rock Weir. The safety fencing shall be a high visibility orange colored, high density polyethylene grid or approved equal, a minimum of 36 inches high, supported and tightly secured to steel posts located on maximum 15 foot centers. The safety fencing shall be maintained by the Contractor during the life of the contract and, upon completion and acceptance of the work, shall become the property of the Contractor and shall be removed from the work site.

### PART 2 PRODUCTS

#### 2.1 BULLETIN BOARD, PROJECT SIGN, AND PROJECT SAFETY SIGN

##### 2.1.1 Bulletin Board

Immediately upon beginning of work, the Contractor shall provide a weatherproof glass-covered bulletin board not less than 36 by 48 inches in size for displaying the Equal Employment Opportunity poster, a copy of the wage decision contained in the contract, Wage Rate Information poster, and other information approved by the Contracting Officer. The bulletin board shall be located at the project site in a conspicuous place easily accessible to all employees, as approved by the Contracting Officer. Legible copies of the aforementioned data shall be displayed until work is completed. Upon completion of work the bulletin board shall be removed by

and remain the property of the Contractor.

#### 2.1.2 Project and Safety Signs

The Contractor shall furnish and erect a Project sign and a Safety sign in a location selected by the Contracting Officer at the project site within 15 days after receipt of the notice to proceed. The requirements for the signs and their content shall be as shown on the drawings at the end of this section. The data required by the safety sign shall be corrected daily. Signs shall be maintained throughout the construction period, and upon completion of the project, the signs shall be removed from the site. The PROJECT DESCRIPTION and PROJECT NAME shall be as follows:

PROJECT DESCRIPTION: Environmental Restoration

PROJECT NAME: Little Falls Channel Excavation

#### 2.2 GOVERNMENT FIELD OFFICE

The Contractor shall provide and maintain for the life of the contract an approved mobile office (mobile home style) meeting the following requirements as to space and facilities for the exclusive use of the government. The unit shall be ready for occupancy within 30 calendar days after notice to proceed. The unit shall provide a minimum of 400 square feet of floor area. The unit interior headroom shall be no less than a nominal 8'-0".

##### 2.2.1 Location

The Contractor shall locate the portable mobile home type field office at or near the Contractor's field office site at a location approved by the Contracting Officer. Two parking spaces shall be reserved for Government vehicles at the Government trailer.

##### 2.2.2 Construction.

The Government field office shall be similar in quality and age as the Contractor's field office, if provided. Exterior and interior finishes shall be free from color fade, chipping, or peeling. The unit shall be set level on blocking, be provided with plywood skirting, and be anchored to the ground in compliance with local codes for protection against wind damage. Exterior doors shall be provided with screens and outside hasps for use with padlocks. The unit shall be electrically wired for fluorescent ceiling lighting fixtures and weather proof porch lights at each entrance door, along with switches, duplex convenience outlets, and a master switch and fuse box as required. The entire unit shall be adequately insulated with fiberglass insulation and vapor barrier. Dead air crawl space shall be properly ventilated. Heating and air conditioning facilities shall be provided to maintain an ambient inside temperature of 68 degrees F. The unit shall be weather proof, and furnished with a forced air type heating plant, either gas or oil with hot and cold air ducts adequate to supply even heat throughout the unit. Air conditioning shall be furnished with capacity as recommended by the manufacturer for the trailer size. A central air conditioning system shall be provided.

### 2.2.3 Utilities.

The Contractor shall be responsible for service fees in connection with electrical power and heating (natural gas or oil service). The Contractor shall also be responsible for service fees in connection with the water supply, sanitary waste system, and telephone as indicated below.

- a. Sanitary Facilities. A serviced chemical toilet may be used.
- b. Telephone. The Contractor shall be responsible for installation of 2 telephone lines at the Government office. The telephone hook-up should be placed on a separate account from the Contractor's phone so that it can be transferred to the Government after installation. The Government will be responsible for the telephone service to the Government field office after installation.

### 2.2.4 Furnishings.

The following furnishings shall be provided for the Government office:

- a. A hot and cold drinking water dispenser.
- b. Bulletin board, minimum size 6 square feet.
- c. A cabinet shall be supplied along a side wall with minimum nominal dimensions 2 feet wide, 3 feet high and 6 feet long. The cabinet shall include a finished wood or laminate counter. Two shelves, one above and one below the cabinet, shall be provided for storage.
- d. Stoop. A stoop with 8 inch risers and handrails shall be provided at each entrance door.
- e. Windows. All windows shall be provided with sash and security screens along with shades, blinds or similar features that allow for the complete coverage of the windows on the inside.
- f. Table and Chairs. A 72" x 36" table with six folding chairs.
- g. Computer. A computer with 17" monitor, printer, 10 Gbyte hard drive, CD ROM, and 3-1/2" diskette. The computer shall be setup in operating condition, and be equipped with Windows 2000 and a Pentium processor, or equal.

### 2.2.5 Furniture

Office furniture shall be coordinated with respect to style, color, and upholstery. The following furniture shall be provided:

- a. Desk either wood or steel, double pedestal type, top approximately 60 inches by 34 inches, with lock.
- b. A swivel armchair with tilting seat and adjustable spring back.
- c. A filing cabinet, four-drawer legal size, with lock.
- d. One drafting table stool, non-tilting, rotary type with back and circular footrest.
- e. One drafting table, metal and/or wood, 36 inches by 48 inches.

### 2.2.6 Maintenance.

The Contractor shall maintain the field office for the life of the contract. The Contractor shall be responsible for maintaining and paying

for all costs associated with the following services:

- a. Janitorial Service. The Contractor shall provide weekly janitorial service and provide all janitorial and sanitary supplies as well as trash removal service.
- b. Snow removal. Maintenance of site access including snow removal service is the responsibility of the contractor.

### PART 3 EXECUTION

#### 3.1 CLEANUP

Construction debris, waste materials, packaging material and the like shall be removed from the work site. Any dirt or mud which is tracked onto paved or surfaced roadways shall be cleaned away. Materials resulting from demolition activities which are salvageable shall be stored within the fenced area described above or at the supplemental storage area. Stored material not in trailers, whether new or salvaged, shall be neatly stacked when stored.

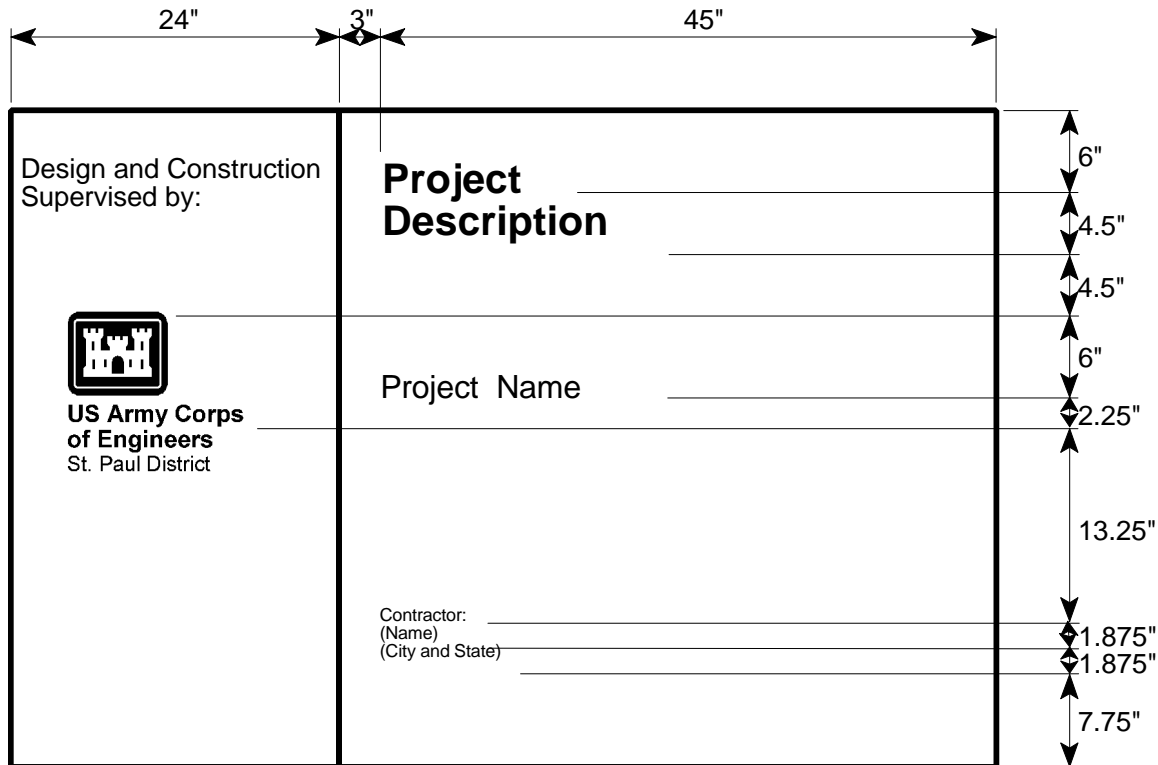
#### 3.2 RESTORATION OF STORAGE AREA

Upon completion of the project and after removal of trailers, materials, and equipment from within the fenced area, the fence shall be removed and will become the property of the Contractor. Areas used by the Contractor for the storage of equipment or material, or other use, shall be restored to the original or better condition. Gravel used to traverse grassed areas shall be removed and the area restored to its original condition, including top soil and seeding as necessary.

-- End of Section --

## PROJECT SIGN

The graphic format for this 4' x 6' sign panel follows the legend guidelines and layout as specified below. The large 4' x 4' section of the panel on the right is to be white with black legend. A 2' x 4' decal provided by the Corps shall be placed on the left side of the sign panel.



### Project Description:

One to three line project title legend describes the work being done under this contract.

Color: Black; Typeface: 3" Helvetica Bold; Maximum line length: 42".

### Project Name:

One to three line identification of project or facility.

Color: Black; Typeface: 1.5" Helvetica Bold; Maximum line length: 42".

Cross-align the first line of PROJECT NAME with the first line of the Corps Signature as shown.

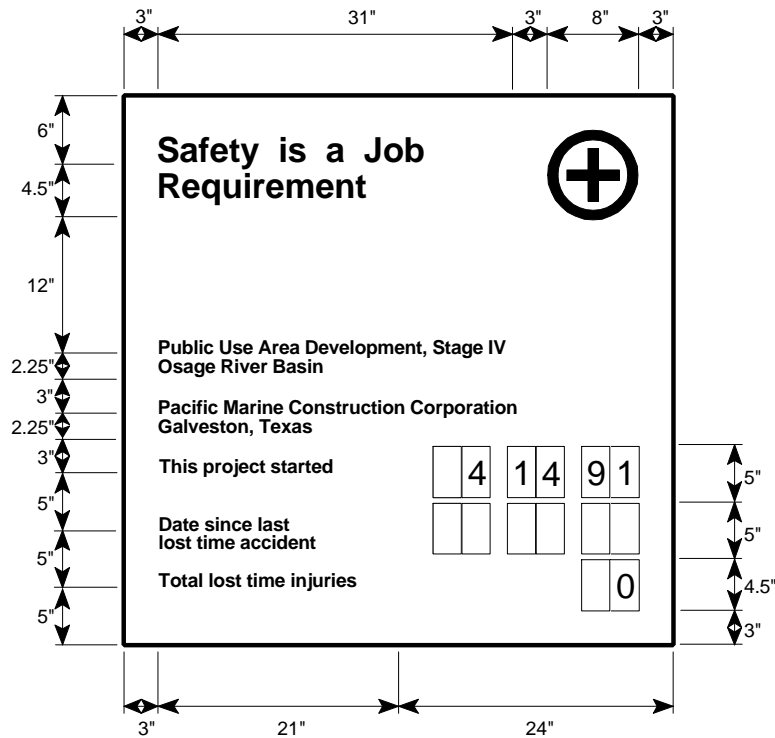
### Contractor:

One to five line identification of prime contractors including: type (architect, general contractor, etc.), corporate or firm name, city, state.

Color: Black; Typeface: 1.25" Helvetica Bold; Maximum line length: 21".

All typography is flush left and ragged right, upper and lower case with initial capitals only as shown. Letter and word spacing to follow Corps Standards (EP 310-1-6a and 6b).

## SAFETY SIGN



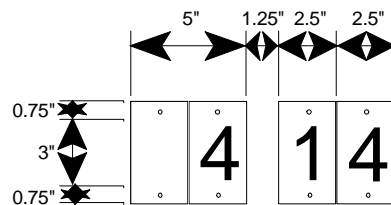
All typography is flush left and rag right, upper and lower case with initial capitals only as shown. Letter and word spacing to follow Corps Standards (EP 310-1-6a and 6b).

Legend Group 1: Standard two-line title "Safety is a Job Requirement" with (8" od.) Safety Green First Aid logo. Typeface: 3" Helvetica Bold; Color: Black.

Legend Group 2: One- to two-line project title legend describes the work being done under this contract and name of host project. Typeface: 1.5" Helvetica Regular; Color: Black; Maximum line length: 42".

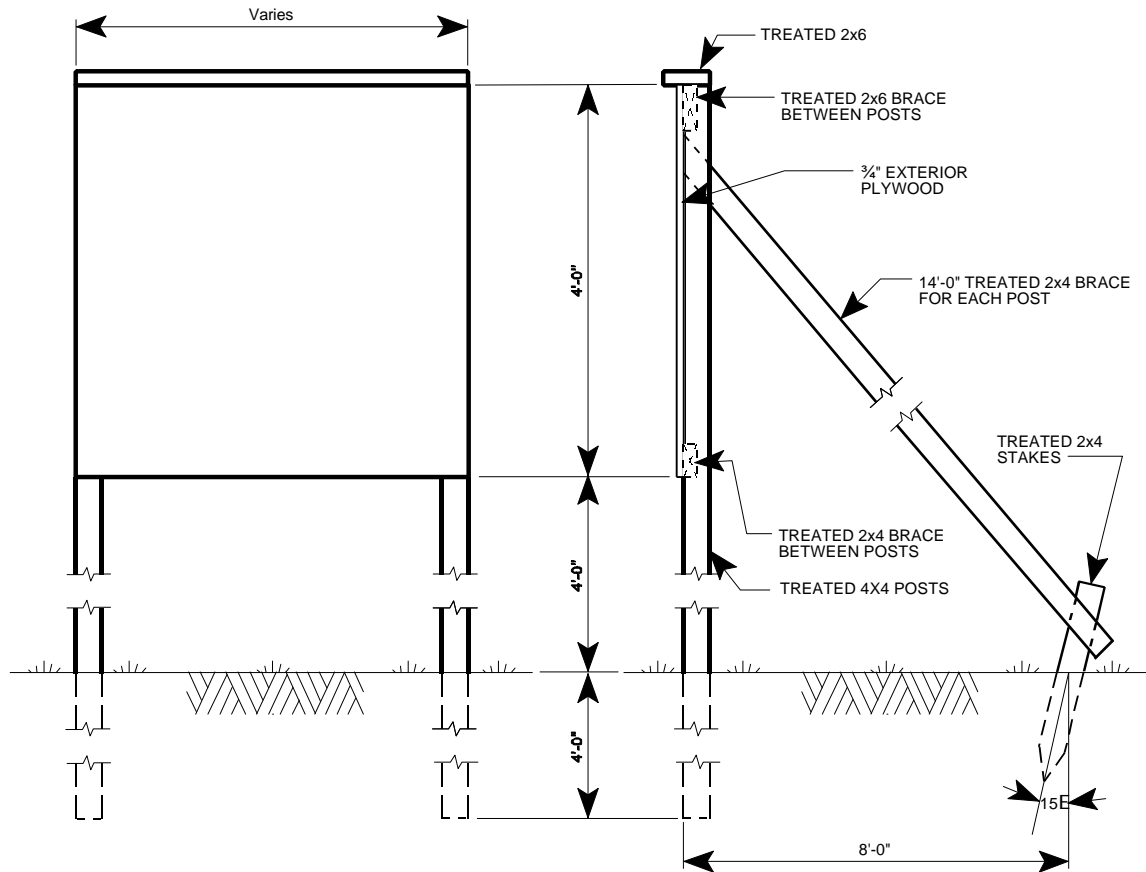
Legend Group 3: One- to two-line identification: name of prime contractor and city, state address. Typeface: 1.5" Helvetica Regular; Color: Black; Maximum line length: 42".

Legend Group 4: Standard safety record captions as shown. Typeface: 1.25" Helvetica Regular; Color: Black.



Replaceable numbers are to be mounted on white 0.060 aluminum plates and screw-mounted to background. Typeface: 3" Helvetica Regular; Color: Black; Plate size: 2.5" x 4.5".

## SIGN ERECTION DETAILS



SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01567

MINNESOTA POLLUTANT DISCHARGE ELIMINATION SYSTEM

09/98

PART 1 GENERAL

- 1.1 GENERAL
  - 1.1.1 Definitions
  - 1.1.2 Contract Drawings
- 1.2 REFERENCES
- 1.3 SUBMITTALS
- 1.4 PERMIT COMPLIANCE AND ADDITIONAL REQUIREMENTS
  - 1.4.1 Schedule
  - 1.4.2 Temporary erosion and sediment control plan
  - 1.4.3 Application
  - 1.4.4 Permanent erosion and sediment control plan
- 1.5 MEASUREMENT AND PAYMENT

PART 2 PRODUCTS

- 2.1 SILT FENCE
- 2.2 STRAW BALES
- 2.3 OTHER PRODUCTS

PART 3 EXECUTION

- 3.1 IMPLEMENTATION
- 3.2 MAINTENANCE
- 3.3 RECORDS
- 3.4 ATTACHMENTS

-- End of Section Table of Contents --



## SECTION 01567

### MINNESOTA POLLUTANT DISCHARGE ELIMINATION SYSTEM 09/98

#### PART 1 GENERAL

##### 1.1 GENERAL

This section covers best management practices to be implemented for prevention of storm water pollution as required by the National Pollutant Discharge Elimination System (NPDES). The Minnesota Pollution Control Agency is responsible for administering permits for NPDES in the state of Minnesota. The Government has determined that the project work included under this contract requires NPDES permitting. The requirements herein supplement those covered in SECTION 01410: ENVIRONMENTAL PROTECTION.

##### 1.1.1 Definitions

The following terms apply to this specification and the general permit, unless redefined in subsequent paragraphs.

- a. "Plan" means the Temporary Erosion and Sediment Control Plan.
- b. "EPA" means the United States Environmental Protection Agency.
- c. "MPCA" means the Minnesota Pollution Control Agency.
- d. "NPDES" means the National Pollutant Discharge Elimination System.
- e. "MPDES" means the Minnesota Pollutant Discharge Elimination System.
- f. "Owner" as referred to in the general permit shall mean the Federal Government.
- g. "Permittees" as referred to in the general permit shall mean the Federal Government and Contractor.
- h. "General Permit" means the general permit authorization to discharge storm water associated with a construction activity under the National Pollutant Discharge Elimination System/State Disposal System Permit Program.
- j. "BMP" means Best Management Practices.

##### 1.1.2 Contract Drawings

The following features are shown on or can be determined from the contract drawings:

- a. The drainage patterns and approximate slopes anticipated after the major grading activities.
- b. Areas of soil disturbance.
- c. The location(s) where stabilization practices are expected to occur.
- d. Typical details showing suggested Best Management Practices (BMP's) for erosion and sediment control.
- e. Waters of the State.
- f. Final site stabilization.

## 1.2 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

### ENVIRONMENTAL PROTECTION AGENCY (EPA)

EPA/832/R-92/005	Storm Water Management for Construction Activities - Developing Pollution Prevention Plans and Best Management Practices
------------------	--

### MINNESOTA DEPARTMENT OF TRANSPORTATION

MNDOT 3885	Standard Specifications for Construction (1995 Edition), Erosion Control Blankets
MNDOT 3886	Standard Specifications for Construction (1995 Edition), Silt Fence
MNDOT 3887	Standard Specifications for Construction (1995 Edition), Flotation Silt Curtain

## 1.3 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

### SD-01 Preconstruction Submittals

Application; G,PM

A copy of the Application for General Storm Water Permit for Construction Activity (MPCA Form PQ00641) shall be submitted to the Contracting Officer at the same time it is transmitted to the state.

### SD-02 Shop Drawings

Temporary Erosion And Sediment Control Plan;

A specific Temporary Erosion and Sediment Control Plan shall be submitted in accordance with PARAGRAPH: PERMIT COMPLIANCE AND ADDITIONAL REQUIREMENTS.

### SD-11 Closeout Submittals

Notice of Termination;

A copy of the notice of termination shall be submitted to the

Contracting Officer at the same time it is transmitted to the state.

#### 1.4 PERMIT COMPLIANCE AND ADDITIONAL REQUIREMENTS

The Contractor shall comply with the requirements of General Permit No. MNR100000. The following define additional requirements and clarify which requirements of the General Permit are to be performed by either the Contractor, the Government, or both.

##### 1.4.1 Schedule

No contract project construction activities which require an NPDES permit may commence until the MPDES permit is valid.

##### 1.4.2 Temporary erosion and sediment control plan

The contract drawings show typical details of suggested best management practices (BMP's) for erosion and sediment control taken from EPA/832/R-92/005. The BMP's, together with applicable portions of the site drawings and specifications form an initial plan for temporary erosion and sediment control. The Contractor shall finalize and implement the plan. The finalized plan, together with documentation, shall be in accordance with the general permit. The plan shall be maintained at the site and made available to federal, state, and local officials as requested. The Contractor shall determine the specific BMP's for erosion and sediment control (including the types, locations, and installation scheduling of erosion and sediment controls). These BMP's and corresponding material specifications and shop drawings shall be included in the Plan.

##### 1.4.3 Application

The Application for General Storm Water Permit for Construction Activity must be signed by the Government and the Contractor. A blank copy of the application form is included at the end of this section. Immediately after contract award, the Contractor shall complete parts I, II and V of the application form, obtain signature by the Government, and submit the form to the state. The application shall be post marked at least 48 hours in advance of any ground breaking activities. The Contractor is responsible for payment of the application fee.

##### 1.4.4 Permanent erosion and sediment control plan

The Government has developed the Permanent Erosion and Sediment Control Plan and will maintain availability of the plan to federal, state, and local officials as required in the General Permit.

#### 1.5 MEASUREMENT AND PAYMENT

The contractor shall be responsible for the work of this section, without any direct compensation being made other than the payment received for contract items.

## PART 2 PRODUCTS

### 2.1 SILT FENCE

Silt fence shall be manufactured and installed as shown on drawings. On level sites with minimal potential for sediment loading, the wire fabric may be omitted. Fabric for silt fence shall conform to requirements given in MNDOT 3886.

### 2.2 STRAW BALES

Straw shall be baled from oats, wheat, rye, barley, rice, or other coarse fiber vegetation that will percolate water. Hay baled from grass, alfalfa and clover is not acceptable.

### 2.3 OTHER PRODUCTS

Any products proposed for use that are not included on drawing Z2-22 shall be described fully, with catalog cuts and manufacturer's instructions for use, in the temporary erosion and sediment control plan. Other products, if proposed in the final plan, shall meet the following requirements:

Erosion control blankets shall meet MNDOT 3885  
Floatation Silt Curtain shall meet MNDOT 3887

## PART 3 EXECUTION

As between the Government and the Contractor, the Contractor shall be responsible for fulfilling the obligations of the general permit for the following sections:

Part I-C: Records  
Part I-D: Erosion and Sediment Control During Construction  
Part I-E: Inspection and Maintenance  
Appendix A: Temporary Erosion and Sediment Control Plan

### 3.1 IMPLEMENTATION

The Contractor shall install the sediment and erosion control system in accordance with the plan submitted to the Contracting Officer. The BMP's shall be modified if inspection indicates distress to the system or reveals unforeseen circumstances, or if directed by the Contracting Officer. Any updates to the plan shall be recorded. Permanent stabilization shall be initiated as soon as practicable in any portion of the site where construction activities are complete.

### 3.2 MAINTENANCE

The Contractor shall be responsible for implementing and managing the erosion and sediment control BMP's before and during the construction activities; and ensure that the Plan will be implemented and stay in effect until the work has been completed, the entire work site has undergone final stabilization, and a Notice of Termination has been submitted to the

Contracting Officer and the state permitting authority.

### 3.3 RECORDS

The contractor shall record on CQC reports: (1) dates when major stripping and grading activities occur, (2) dates when construction activities temporarily or permanently cease on a portion of the site, (3) when permanent stabilization practices are initiated, and (4) activities associated with inspection and maintenance.

### 3.4 ATTACHMENTS

Application for General Storm Water Permit for Construction  
Activity (MDNR Form PQ00641 with instructions) 4 Pages

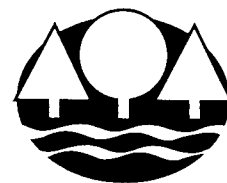
MPDES [General] Permit No. MN R100000 21 Pages

-- End of Section --



# Application for General Storm Water Permit for Construction Activity (#MNR100000)

Minnesota Pollution Control Agency  
520 Lafayette Road North; St. Paul, MN 55155-4194



## I. Construction Site Information

1. Name of project: \_\_\_\_\_
2. Brief description of where the construction activity occurs (please include address, if available):  
\_\_\_\_\_  
\_\_\_\_\_
3. Indicate ALL cities, counties, and townships where the construction activity will take place:  
\_\_\_\_\_  
\_\_\_\_\_
4. Name of waterbody(s) that will receive storm water from the construction site:  
\_\_\_\_\_  
\_\_\_\_\_
5. Project start date: \_\_\_\_\_ Project completion date: \_\_\_\_\_ Area to be disturbed by project: \_\_\_\_\_  
(in acres)

## II. Prerequisites for Applying for a Permit

For the following questions, please refer to the **NPDES General Storm Water Permit** (MNR100000).

A "No" answer for any question will result in this form being returned to the owner with no permit issued to authorize the construction activity. This application will need to be completed and returned to the MPCA before a permit to authorize the construction activity may be issued.

6. Has a **Temporary Erosion and Sediment Control Plan** been developed for this project in accordance with Appendix A and incorporated into this project's final plans and specifications? Yes ☐ No ☐
7. Has a **Permanent Erosion and Sediment Control Plan** been developed for this project in accordance with Appendix B and incorporated into this project's final plans and specifications? Yes ☐ No ☐
8. Has the Application Fee been enclosed? Yes ☐ No ☐

## III. Owner Information

Name \_\_\_\_\_ Telephone \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Contact Person \_\_\_\_\_ Telephone \_\_\_\_\_

#### IV. Owner Certification

I certify under penalty of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person, or persons, who manage the system, or those persons directly responsible for gathering the information, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete (Minnesota Rules part 7001.0070).

I also certify under penalty of law that I have read, understood, and accepted all terms and conditions of the National Pollutant Discharge Elimination System (NPDES) General Storm Water permit (MNR100000) that authorizes storm water discharges associated with the construction site identified on the front side of this form.

I understand that as a permittee, I am legally accountable under the Clean Water Act, to ensure compliance with the terms and conditions of the NPDES General Storm Water Permit (MNR100000).

I also understand that MPCA enforcement actions (pursuant to Minnesota Statutes sections 115.07, 116.072, and 609.71 and Section 309 of the Clean Water Act) may be taken against my company if the terms and conditions of the NPDES General Storm Water Permit (MNR100000) are not met.

Printed Name

Title (Manager, CEO, etc.)

Authorized Signature

Date

#### V. General Contractor Certification

I certify under penalty of law that I have read, understood, and accepted all terms and conditions of the National Pollutant Discharge Elimination System (NPDES) General Storm Water permit (MNR100000) that authorizes storm water discharges associated with the construction site identified on this form.

I understand that for Parts I.B. through I.E, Appendix C, and Appendix D of the General Storm Water Permit (MNR100000) I am becoming a co-permittee with the owner of the facility for which I have been contracted to perform professional construction services. As a co-permittee I understand that my company is legally accountable, under the Clean Water Act, to ensure compliance with the terms and conditions of the General Storm Water Permit (MNR100000).

I also understand that MPCA enforcement actions (pursuant to Minnesota Statutes sections 115.07, 116.072, and 609.71 and Section 309 of the Clean Water Act) may be taken against my company if the terms and conditions of the NPDES General Storm Water Permit (MNR100000) for which I am a co-permittee, are not met.

Company or Firm

Telephone

Printed Name

Title (Manager, CEO, etc.)

Authorized Signature

Date

Address

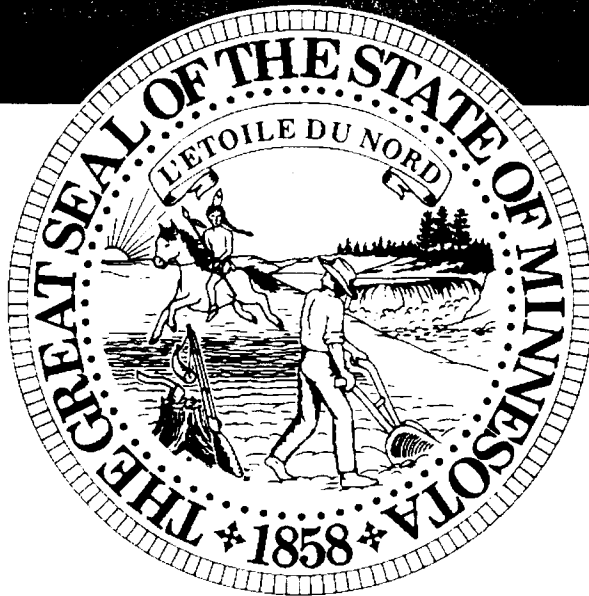
City

State

Zip Code

Contact Person

Telephone



# **Application Instructions for General Storm Water Permit**

## **CONSTRUCTION ACTIVITY**



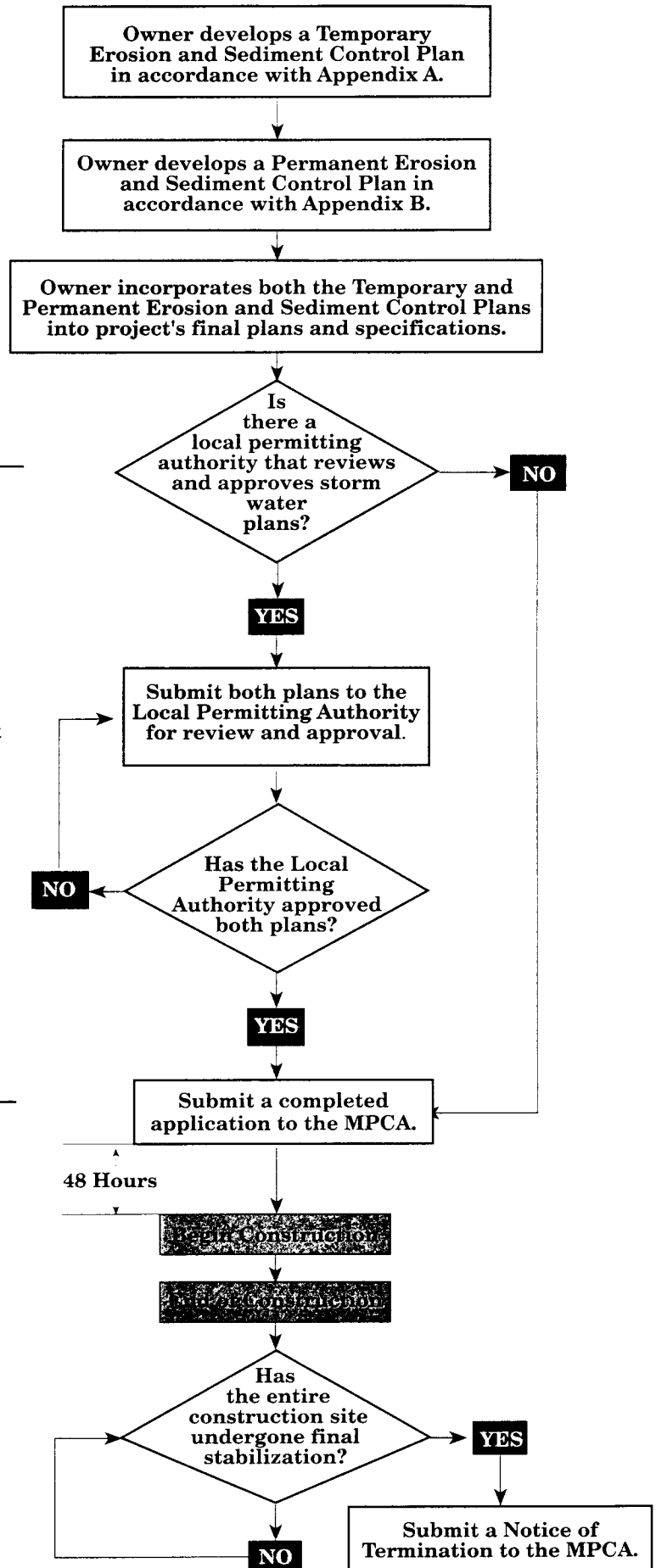
### **Minnesota Pollution Control Agency**

520 Lafayette Road North  
St. Paul, MN 55155-4194



# Application Process for Coverage Under Storm Water Permit for Construction Activity

Applicants still need to seek approval through required permitting process at the local, state, and federal levels.



For additional information call:

(612) 296-7219 or  
1-800-657-3804

People with speech or hearing impairments may call (612) 282-5332 or 1-800-627-3529

**Minnesota Pollution Control Agency****GENERAL PERMIT****AUTHORIZATION TO DISCHARGE****STORM WATER ASSOCIATED WITH A CONSTRUCTION****ACTIVITY UNDER THE NATIONAL POLLUTANT DISCHARGE ELIMINATION****SYSTEM/STATE DISPOSAL SYSTEM PERMIT PROGRAM****ISSUANCE DATE: September 4, 1998****EXPIRATION DATE: September 4, 2003**

In compliance with the provisions of the Clean Water Act, as amended, (33 U.S.C. 1251 et seq.; hereinafter, the "Act"); 40 CFR 122, 123, and 124, as amended, et seq.; Minnesota Statutes Chapters 115 and 116, as amended, and Minnesota Rules Chapter 7001:

**This permit establishes conditions for discharging storm water to waters of the state from construction activities which disturb five or more acres of total land area.**

**This permit DOES NOT authorize:**

- 1) Discharges or releases that are not storm water as defined on Page 18 (see "Prohibitions" on Page 14 of this permit).
- 2) The placement of fill into waters of the state.

Unless notified by the Agency to the contrary, applicants who submit a complete application form in accordance with the requirements of this permit are authorized to discharge storm water from construction sites under the terms and conditions of this permit 48 hours after the date the application is postmarked.

Coverage under this permit will remain in effect until construction is complete, the site has undergone final stabilization, all maintenance activities required in Part I.E. have been completed, and the Permittee has submitted a Notice of Termination, regardless of the above expiration date.

Signature: John N. Holck, Manager  
South District

for

Peder A. Larson  
Commissioner

Operations &amp; Planning/Major Facilities

Minnesota Pollution Control Agency

If you have questions on this permit, including the specific permit requirements, permit reporting or permit compliance status, please contact:

**Minnesota Pollution Control Agency  
Metro District, Storm Water Permit Program  
520 Lafayette Road North  
St. Paul, MN 55155-4194  
Telephone (651) 296-3890  
Fax (651) 297-8701**

## Table of Contents

	Page
<b>I. REQUIREMENTS OF THIS PERMIT . . . . .</b>	<b>3</b>
A) Prerequisites for Submitting a Permit Application. . . . .	3
B) Application for Coverage . . . . .	3
C) Records to be Kept On Site . . . . .	4
D) Erosion and Sediment Control During Construction . . . . .	5
1) Erosion Control . . . . .	5
2) Sediment Control . . . . .	6
E) Inspections and Maintenance. . . . .	7
F) Duration of Permit Coverage. . . . .	8
G) Appendices Incorporated by Reference . . . . .	8
<b>II. APPENDICES</b>	
APPENDIX A - TEMPORARY EROSION AND SEDIMENT CONTROL PLAN	
A) Goal . . . . .	9
B) Assigning Responsibilities . . . . .	9
C) Plan Contents. . . . .	9
D) Final Plans and Specifications . . . . .	10
E) Plan Retention . . . . .	10
F) Changes to the Temporary Erosion and Sediment Control Plan . . . . .	10
APPENDIX B - PERMANENT EROSION AND SEDIMENT CONTROL PLAN	
A) Goal . . . . .	11
B) Assigning Responsibilities . . . . .	11
C) Plan Contents. . . . .	11
D) Final Plans and Specifications . . . . .	13
E) Plan Retention . . . . .	13
F) Changes to the Permanent Erosion and Sediment Control Plan . . . . .	13
APPENDIX C - PROVISIONS	
A) Applicability Criteria . . . . .	14
B) MPCA Address . . . . .	14
C) Response . . . . .	14
D) Authorized Discharges. . . . .	14
E) Prohibitions . . . . .	14
F) Definitions . . . . .	15
APPENDIX D - RESPONSIBILITIES	
A) Transfer Ownership of Control . . . . .	19
B) Permit Modification . . . . .	19
C) Right of Entry . . . . .	19
D) Civil and Criminal Liability . . . . .	20
E) Oil and Hazardous Substance Liability . . . . .	20
F) Liability Exemption . . . . .	20
G) Minnesota Laws . . . . .	20
H) Property Rights . . . . .	20
I) Severability . . . . .	20
J) NPDES/SDS Rules . . . . .	21
K) Other Statutes, Rules, and Ordinances. . . . .	21
L) More Stringent Rules . . . . .	21
M) Agency Obligation . . . . .	21

I. REQUIREMENTS OF THIS PERMIT

A. PREREQUISITES FOR SUBMITTING A PERMIT APPLICATION

Failure to complete the following prerequisites prior to submitting the **application** will result in the **application** being returned, and the construction project NOT authorized by this **permit**.

1. The **owner** must develop a Temporary **Erosion and Sediment Control** Plan in accordance with "Appendix A." The plan requirements must be incorporated into the project's **final plans and specifications** and implemented as part of the project.
2. The **owner** must develop a Permanent **Erosion and Sediment Control** Plan in accordance with "Appendix B." The plan requirements must be incorporated into the project's **final plans and specifications** and implemented as part of the project.

The above plans are NOT to be submitted to the Agency but are to be retained by the owner in accordance with Appendices A and B; "Plan Retention."

B. APPLICATION FOR COVERAGE

1. The **owner** and **general contractor** are responsible for submitting a completed **application** form (or a photocopy thereof) to the Minnesota Pollution Control Agency (MPCA) for each project which disturbs five (5) or more acres of land.
2. The **owner** who signs the **application** is responsible for compliance with all terms and conditions of this **permit**. The **general contractor** who signs the **application** is a Co-Permittee for Parts I.B. through I.E., Appendix C, and Appendix D of this **permit**. and is responsible for compliance with those portions of this **permit**.
3. This permit will become effective 48 hours after the postmarked date of the completed **application** form containing "Yes" responses to questions 6, 7, and 8. A "No" response to question 6, 7, or 8 will result in the application being returned to the owner, and no permit will be issued to authorize the construction. No construction which requires an NPDES permit may commence unless authorized by an NPDES permit.
4. Permittees will receive a "Notice of Storm Water Permit Coverage" card acknowledging permit coverage within 30 days of the postmarked date of the completed **application**. (See I.D.3. for posting requirements.) A photocopy of this card must be provided by the **owner** to the **local permitting authority**, where applicable, within 14 days of receipt.

C. RECORDS

1. The project's **final plans and specifications** which incorporate the requirements of the Temporary Erosion and Sediment Control Plan and Permanent Erosion and Sediment Control Plan must be:
  - a. available at the construction site in either the field office, or, inspector's vehicle, or contractor's vehicle, and,
  - b. available to federal, state, and local officials (in accordance with Appendix D, Subpart C) for inspection for the duration of this permit.
2. The following plans/records must be made available to federal, state and local officials within 24 hours of request (in accordance with Appendix D, Subpart C.) for the duration of the permit:
  - a. Temporary Erosion and Sediment Control Plan developed in accordance with Part I.A.1. (if a separate document from the project's **final plans and specifications**).
  - b. Permanent Erosion and Sediment Control Plan developed in accordance with Part I.A.2.
  - c. Records of all inspections (see Part I.E.). Records shall include:
    - 1) Date and time of inspections,
    - 2) Findings of inspections,
    - 3) Corrective actions taken (including dates and times)
    - 4) Documentation of changes to the Temporary Erosion and Sediment Control Plan made during construction.
  - d. Date of all rainfall events.
3. The "Notice of Storm Water Permit Coverage" card shall be posted at any of the following locations:
  - a. construction site entrance and visible from the nearest public roadway
  - b. visible from the nearest public roadway, where no construction site entrance exists
  - c. field office (if applicable)
  - d. for linear utility and non-contiguous municipal projects, at the office responsible for project administration.

D. EROSION AND SEDIMENT CONTROL DURING CONSTRUCTION

1. Erosion Control

- a. The **Permittee(s)** shall use, where possible, horizontal slope grading, construction phasing, and other construction practices that minimize **erosion**.
- b. Unless precluded by snow cover, all **exposed soil areas\*** with a continuous positive slope within 100 lineal feet from a water of the state, or from a curb, gutter, storm sewer inlet, temporary or permanent drainage ditch or other **storm water** conveyance system, which is connected to a water of the state, shall have **temporary protection or permanent cover** for the **exposed soil areas** within the following time frames:

<u>Type of Slope</u>	Temporary protection or permanent cover where the area has not been, or will not be, worked by the contractor for:
Steeper than 3:1	7 days
10:1 to 3:1	14 days
Flatter than 10:1	21 days

\*For the purposes of this provision, **exposed soil areas** do not include stockpiles or surcharge areas of sand, gravel, aggregate, concrete or bituminous.

- c. The bottom of any temporary or permanent drainage ditch constructed to drain water from a construction site must be stabilized within 100 lineal feet from a water of the state. Stabilization must be initiated within 24 hours of connecting the drainage ditch to **a water of the state**, existing gutter, storm sewer inlet, drainage ditch, or other **storm water** conveyance system which discharges to **waters of the state** and completed within five calendar days.
- d. Prior to connecting any pipe to a **water of the state** or drainage ditch, the pipe's outlet must be provided with temporary or permanent **energy dissipation** to prevent erosion.

2. Sediment Control

- a. **Sediment control best management practices (BMPs)**, which prevent **sediment** from entering a **water of the state**, gutter, storm sewer inlet, ditch or other storm water conveyance system, shall be established on all down-gradient perimeters before any up-gradient land disturbing activities begin, and shall remain in place until final stabilization has been established.
- b. The Permittee shall minimize vehicle tracking of **sediment** or **soil** off site at locations where vehicles exit the construction site onto **paved surfaces**.
- c. Where 10 or more contiguous acres of **exposed soil** are contributing to a discernible point of **discharge**, temporary sedimentation basins\* must be provided prior to the runoff leaving the construction site or entering **waters of the state**.

These sedimentation basins shall comply with the following:

- 1) Basins shall provide 1800 ft<sup>3</sup> per acre drained of hydraulic storage below the outlet pipe. For roadways, the use of adjacent drainage ditches with riser pipes to accomplish this is acceptable.
- 2) Basin outlets shall be designed to prevent short circuiting and the **discharge** of floating debris. The outlet should consist of a perforated riser pipe wrapped with filter fabric and covered with crushed gravel. The perforated riser pipe should be designed to allow complete basin drawdown.

\*While recommended, this provision will not be required for:

- 1) work on existing roadways where the 10 acre disturbed common drainage area is served by an existing storm sewer which is daylighted off the road's right-of-way,  
**or,**
- 2) proximity to bedrock or vertical relief precludes it,  
**or,**
- 3) final stabilization will be established within 30 days of the initiation of construction activity.

E. INSPECTIONS AND MAINTENANCE

1. Except where work has been suspended due to frozen ground conditions, the **Permittee(s)** shall inspect the construction site once every seven (7) days and within 24 hours after every rain event, which results in runoff leaving the construction site or entering **waters of the state**. The **Permittee** shall investigate and comply with the following inspection and maintenance requirements:

- a. Inspection Requirement: All **erosion** and perimeter **sediment control BMPs** to ensure integrity and effectiveness.

Maintenance Requirement: All nonfunctional perimeter **sediment control BMPs** shall be repaired when the sediment reaches 1/3 of the height, or replaced, or supplemented with functional **BMPs** within 24 hours of discovery. All nonfunctional **erosion control BMPs** shall be repaired, replaced, or supplemented with functional **BMPs** as soon as field conditions allow access.

- b. Inspection Requirement: All temporary sedimentation basins to ensure effectiveness.

Maintenance Requirement: When the depth of sediment collected in the basin reaches 1/2 the height of the riser, or 1/2 the storage volume, the basin shall be drained and the sediment removed. Drainage and removal shall be completed within 72 hours of discovery, or as soon as field conditions allow access.

- c. Inspection Requirement: Drainage ditches and other **waters of the state** for evidence of **sediment** leaving the site.

Maintenance Requirement: Unless the project has received approval or certification for depositing fill into waters of the state, the **Permittee** shall remove all deltas and **sediment** deposited in drainage ways, catch basins, or **waters of the state**, and restabilize the areas where **sediment** removal results in **exposed soil**. The removal and stabilization shall take place within seven (7) days of discovery unless precluded by legal, regulatory, or physical access restraints. If precluded, removal and stabilization must take place within seven calendar days of obtaining access. The **Permittee** is responsible for contacting all local, regional, state and federal authorities prior to working in waters of the state, and receiving any applicable permits.



- d. Inspection Requirement: Construction site vehicle exit locations for evidence of off-site **sediment** tracking onto paved **surfaces**.

Maintenance Requirement: Tracked **sediment** shall be removed from paved **surfaces**, which do not drain back into the construction site, within 24 hours of discovery.

2. Where parts of the construction site have undergone **final stabilization**, but work remains on other parts of the site, inspections of the stabilized areas may be reduced to once per month.
3. Where work has been suspended due to frozen ground conditions, the inspections and maintenance required in Part I.E.1. above shall take place as soon as weather conditions warrant or prior to resuming construction.
4. Unless required to remain in place by the **owner** or **local permitting authority**, all temporary synthetic, structural, and nonbiodegradable **erosion** and **sediment control BMPs** shall be removed after the site has undergone **final stabilization**.
5. After the entire project has undergone **final stabilization**, all temporary sedimentation basins to be used as permanent water quality management basins must be cleaned out by the **Permittee** to provide the sediment storage capacity required in Part I.D.2.c.2. **Permittees** are responsible for the maintenance of water quality management **BMPs** until construction is complete, the site has undergone **final stabilization**, and a **Notice of Termination** has been submitted to the **Agency**.

F. DURATION OF PERMIT COVERAGE

The **owner** and **general contractor** are responsible for complying with their respective portions of this permit until construction is complete, all maintenance activities required in Part I.E. are complete, the site has undergone **final stabilization** and a **Notice of Termination** is submitted to the **Agency**.

G. APPENDICES INCORPORATED BY REFERENCE

Appendices A, B, C, and D are incorporated into this permit by reference and are made both integral and enforceable parts of this permit.

## APPENDIX A

## TEMPORARY EROSION AND SEDIMENT CONTROL PLAN

(Completed prior to submittal of an application)

- A. GOAL: The goal of the Temporary Erosion and Sediment Control Plan is to prevent **sediment** from entering **waters of the state** during construction. The **owner** shall incorporate **Best Management Practices (BMPs)** into the project's **final plans and specifications**, which are designed to meet this goal and comply with Parts I.D. and I.E. of this **permit**. While the general requirements are identified in Parts I.D. and I.E. of this **permit**, it is the **owner's** responsibility to select the appropriate **BMPs** which satisfy these requirements.

B. ASSIGNING RESPONSIBILITY

When developing bidding documents or other contracts, the **owner** must identify who will implement and manage the **erosion and sediment control BMPs** before and during construction; and ensure that the plan will be implemented and stay in effect until the construction project is complete, the entire site has undergone **final stabilization**, and a **Notice of Termination** has been submitted to the Agency. In addition, the **final plans and specifications** must clearly identify who will be responsible for the maintenance requirements identified in Part I.E. of this permit.

C. PLAN CONTENTS

The Temporary **Erosion and Sediment Control Plan**, if developed as a document separate from the project's **final plans and specifications**, must be prepared for the proposed project. The plan must contain appropriate **BMPs** which comply with Parts I.D. and I.E. of this permit and contain **standard plates** and/or specifications of these **BMPs**.

1. **Standard plates** and/or specifications must be provided for all **BMPs**, selected by the designer to be used on the project, and at a minimum, must include the following:
  - a. perimeter sediment control
  - b. placement and type of **temporary cover**
2. Where applicable, **standard plates** and/or specifications must also be provided for the following:
  - a. horizontal slope grading
  - b. proposed stabilized vehicle entrances
  - c. temporary sedimentation basins
  - d. storm sewer pipe outlet energy dissipation
  - e. storm sewer inlet control
  - f. **erosion and sediment control** requirements for stockpile areas

D.

The above **standard plates** and/or specifications are to be incorporated into the project's **final plans and specifications**. In addition, the **final plans and specifications** shall clearly denote:

1. Location and type or the procedures to establish the location and type of all **erosion and sediment control BMPs**.
2. Existing and final grades, including dividing lines and direction of flow for all **storm water** runoff drainage areas located within the project limits.
3. Locations of areas not to be disturbed or areas where construction will be staged to minimize duration of **exposed soil areas**.
4. All **waters of the state**, including existing wetlands identified on the National Wetlands Inventory Map, within one-half mile from the exposed construction area which will receive direct storm water runoff from the construction site during construction.

Where waters of the state, including wetlands, which will receive the direct runoff will not fit on a plan sheet, they shall be identified with an arrow, indicating both direction and distance.

5. Timing for installation of all erosion and sediment control BMPs required in Part J.D.

E.

The owner shall keep a copy of the Temporary Erosion and Sediment Control Plan and all changes to it for three years after completion of the construction project.

F.

Changes in the plan made during construction to accommodate phased construction, sequenced work, timing issues, or changed site conditions are allowable provided Parts I.D. through I.E. are complied with.

## PERMANENT EROSION AND SEDIMENT CONTROL PLAN

A. GOAL: The goal of the Permanent Erosion and Sediment Control Plan is to protect Minnesota's water resources from pollutants generated from a project's ultimate development's impervious surfaces, change in land use, or changed ground cover.

When developing bidding documents or other contracts, the owner must identify who will maintain the water quality management BMPs until construction is complete, all maintenance activities required in Part I.E. are complete, the site has undergone final stabilization, and a Notice of Termination has been submitted to the Agency.

The Permanent Erosion and Sediment Control Plan must be prepared for the proposed project, and may be developed as a separate document from the **final plans and specifications**. The plan must contain appropriate **BMPs** which satisfy the above goal, and contain **standard plates** and/or specifications of these **BMPs**. These **standard plates** and specifications must be incorporated into the project's **final plans and specifications**. At a minimum, the plan must contain:

1. Land feature changes (in acres) for both **before** and **after** construction:
  - a. Total project area;
  - b. Total **impervious surface** area of project;
  - c. Total pervious area of project;
  - d. Total estimated **impervious surface** area of ultimate development;
  - e. Total estimated pervious area of ultimate development;

2. **Standard plates** and/or specifications of permanent erosion and sediment control BMPs below (Appendix B. C. 2a. 2b. and 2c.):

Where a project's ultimate development replaces surface vegetation with one or more acres of cumulative impervious surface and all runoff has not been accounted for in a local unit of government's existing storm water management plan or practice, the runoff shall be discharged to a wet sedimentation basin\* prior to entering waters of the state.

Except as provided in 2) below ("Reconstruction or Work on Existing Roadways"), the wet sedimentation basin shall be based on the project's ultimate development and comply with the following requirements:

- a) The basin's hydraulic volume shall be sufficient to capture a 1/2 inch of runoff from the impervious watershed area.
- b) Basins shall also provide a minimum of 250 ft.<sup>3</sup> dead sediment storage volume below the basin's hydraulic volume/impervious acre drained.
- c) Basin inlets shall be placed above the sediment storage volume.
- d) Basin outlets shall be designed to remove all suspended solids greater than five microns with a settling velocity of  $1.3 \times 10^{-4}$  ft/sec.
- e) Basin outlets shall also be designed to prevent short circuiting and the discharge of floating debris.
- f) Basins must provide spillways to accommodate storm events in excess of the basin's hydraulic design.

2) Reconstruction or Work on Existing Roadways

- \* While recommended, the above provision (Appendix B.C.2a.) will not be required for work on existing roadways where:
- 1) the drainage area is served by an existing storm sewer which is daylighted off the road's right-of-way or,
  - 2) proximity to bedrock or vertical relief precludes it, or,
  - 3) existing right-of-way precludes it.

For these situations, however, the **owner** will be required to incorporate other sedimentation or treatment devices (i.e., grass swales, smaller sediment basins, etc.).

b. Permanent Erosion Control

- 1) All drainage ditches constructed to drain water from the site after construction is complete must be **stabilized**.
- 2) All pipe outlets must be provided with permanent **energy dissipation** where the pipe's outlet velocity will exceed the permanent cover's erosive velocity.

c. Treatment

The **owner** is required to provide treatment of storm water through the use of **BMPs** such as grass swales, wetlands constructed for the purpose of treating **storm water**, and the planting or development of emergent vegetation around the perimeter of the wet sedimentation basin's **sediment** storage volume.

D. FINAL PLANS AND SPECIFICATIONS

The above standard plates and/or specifications are to be incorporated into the project's final plans and specifications. In addition, the final plans and specifications shall clearly denote:

1. Location and type of all permanent erosion and sediment control BMPs (Appendix B.C.2a., 2b. and 2c.).
2. The plan sheets must clearly identify all **waters of the state**, including wetlands identified on the National Wetlands Inventory Map within and one-half mile from the construction area which will receive direct **storm water** runoff from the construction site after construction is complete.

Where the **waters of the state** which will receive the direct runoff and will not fit on the plan sheet, the resource shall be identified with an arrow, indicating both direction and distance.

3. Methods to be used for final stabilization of all exposed soil areas. For linear utility and roadway projects, final stabilization is not required on agricultural land which will be tilled within one year of project completion.

E. PLAN RETENTION

The owner shall keep a copy of the Permanent Erosion and Sediment Control Plan and all changes to it for three years after completion of the construction project.

F. CHANGES TO THE PERMANENT EROSION AND SEDIMENT CONTROL PLAN

Changes in the plan made during construction to accommodate changed site conditions are allowable provided all of Appendix B. is complied with.

APPENDIX C

PROVISIONS

A. APPLICABILITY CRITERIA

1. This permit covers storm water discharges associated with a construction activity which disturb **five (5) or more acres of land** in all areas of the state of Minnesota, except for agricultural/silvicultural activities.
2. This is a National Pollutant Discharge Elimination System/State Disposal System general permit.
3. If the Commissioner determines that storm water discharges associated with a construction activity, or other activities, are contributing to a violation of a water quality standard or would be more appropriately regulated by an individual permit, the Commissioner may require a Permittee to be covered by an individual storm water discharge permit. The Commissioner may require a Permittee to develop and implement specific best management practices. Upon issuance of an individual permit, this general permit would no longer apply.
4. A permit applicant, or Permittee, may request an individual permit.

B. MPCA ADDRESS

Submit all forms, correspondence, reports, etc. to the following address:

Minnesota Pollution Control Agency  
Water Quality Division  
Attn: Construction Activity Storm Water Program  
520 Lafayette Road North  
St. Paul, Minnesota 55155-4194

C. RESPONSE

The Permittee shall respond to Agency requests for submittal of temporary and permanent erosion and sediment control plans and water quality management plans, certificates, reports, records, or other information required by this permit. Upon request, the Permittee shall also provide a copy of this information to the local permitting authority and municipal storm sewer operator.

D. AUTHORIZED DISCHARGES

All discharges of storm water associated with a construction activity shall be composed entirely of storm water.

E. PROHIBITIONS

Discharges of any material other than storm water, such as vehicle and equipment maintenance spills; wash water; oil and other hazardous substances are prohibited by this permit.

F. DEFINITIONS

1. "Act" means the Clean Water Act (formerly the Federal Water Pollution Control Act), United States Code, Title 33, Sections 1251 et seq., as amended.
2. "Agency" means the Minnesota Pollution Control Agency (MPCA).
3. "Application" means a completed application for activities regulated by this permit. Application forms are available from the Agency.
4. "Best Management Practices (BMPs)" means erosion and sediment control and water quality management practices that are the most effective and practicable means of controlling, preventing, and minimizing degradation of surface water, including construction-phasing, minimizing the length of time soil areas are exposed, prohibitions, and other management practices published by state or designated areawide planning agencies.

Examples of BMPs can be found in Protecting Water Quality in Urban Areas, Minnesota Pollution Control Agency 1989, and Storm Water Management for Construction Activities: Developing Pollution Prevention Plans and Best Management Practices, U.S. Environmental Protection Agency 1992 as a reference for BMPs, and Erosion Control Design Manual, Minnesota Department of Transportation, et al, 1993.

5. "Construction Activity" means a disturbance to the land that results in a change in the topography, existing soil cover (both vegetative and non-vegetative), or the existing soil topography which may result in accelerated storm water runoff, leading to soil erosion and movement of sediment into waters of the state. Examples can include clearing, grading, filling and excavating.
6. "Discharge" means the conveyance, channeling, runoff, or drainage, of storm water, including snow melt, from a construction site.
7. "Energy Dissipation" means methods employed at pipe outlets to prevent erosion. Examples include, but are not limited to; aprons, riprap, splash pads, and gabions which are designed to prevent erosion.
8. "Erosion" means the wearing away of soil by rainfall, surface water runoff, wind, or ice movement.
9. "Erosion Control" means methods employed to prevent erosion. Examples include soil stabilization practices, horizontal slope grading, temporary or permanent cover, and construction phasing.
10. "Exposed Soil Areas" means all areas of the construction site where the perennial vegetation (including trees, shrubs, and brush) has been removed. This includes topsoil stockpile areas, borrow areas and disposal areas within the construction site.



11. **"Final Plans and Specifications"** means the reports, prints, drawings, written descriptions, and clear technical requirements necessary to build a project used by the owner for the purposes of entering into a construction contract.
12. **"Final Stabilization"** means that all soil disturbing activities at the site have been completed, and that a uniform perennial vegetative cover with a density of 70 percent of the cover for unpaved areas and areas not covered by permanent structures has been established or equivalent permanent stabilization measures have been employed. Examples of vegetative cover practices can be found in Supplemental Specifications to the 1988 Standard Specifications for Construction (Minnesota Department of Transportation, 1991).
13. **"Five or more acres of total land area"** means any project that disturbs at least five acres of land measured by the project's construction corridor, excluding areas staked as not to be disturbed. If the project is less than five acres, but is part of larger common plan of development or sale (where multiple separate and distinct construction activities may be taking place at different times on different schedules but under one plan), it is defined as "five acres or more of total land area."
14. **"General Contractor"** means the party who signs the construction contract with the owner to construct the entire project described in the final plans and specifications. Where the construction project involves more than one contractor, the general contractor will be the party responsible for managing the entire project on behalf of the owner. In some cases, the owner may be the general contractor. In these cases, the owner will sign the permit application as the general contractor and would become the sole permittee.
15. **"Impervious Surface"** means a constructed hard surface that either prevents or retards the entry of water into the soil and causes water to run off the surface in greater quantities and at an increased rate of flow than prior to development. Examples include rooftops, sidewalks, patios, driveways, parking lots, storage areas, and concrete, asphalt, or gravel roads.
16. **"Local Permitting Authority"** means the township, county, municipality, conservation district, watershed district, watershed management organization, or other public entity which has the authority to review and approve construction activities.
17. **"Local Unit of Government's Existing Storm Water Management Plan or Practice"** means plans or practices developed by the local permitting authority under state law for the purposes of protecting water quality.

18. **"National Pollutant Discharge Elimination System (NPDES)"** means the program for issuing, modifying, revoking, reissuing, terminating, monitoring, and enforcing permits under the Clean Water Act (Sections 301, 318, 402, and 405) and United States Code Title 33, Sections 1317, 1328, 1342, and 1345.
19. **"Notice of Termination"** means notice to terminate coverage under this permit after construction is complete, the site has undergone stabilization, and all conditions of this permit have been satisfied. Notice of Termination forms are available from the Agency.
20. **"Owner"** means the person or party possessing the title of the land on which the construction activities will occur; or if the construction activity is for a lease holder, the party or individual identified as the lease holder; or the contracting government agency responsible for the construction activity.
21. **"Permanent Cover"** means final stabilization. Examples include grass, gravel, asphalt, and concrete.
22. **"Paved Surface"** means a constructed hard, smooth surface made of asphalt, concrete or other pavement material. Examples include, but are not limited to, roads, sidewalks, driveways and parking lots.
23. **"Permit"** means a National Pollutant Discharge Elimination System/ State Disposal System (NPDES/SDS) permit.
24. **"Permittee"** means a person, firm, or governmental agency or other institution who signs the application submitted to the Agency and is responsible for compliance with the terms and conditions of this permit.
25. **"Runoff Coefficient"** means the fraction of total precipitation that is not infiltrated into or otherwise retained by the soil, concrete, asphalt or other surface upon which it falls that will appear at the conveyance as runoff.
26. **"Sediment"** means the product of an erosion process; solid material both mineral and organic, that is in suspension, is being transported, or has been moved by water, air, or ice, and has come to rest on the earth's surface either above or below water level.
27. **"Sediment Control"** means methods employed to prevent sediment from leaving the site. Sediment control practices include silt fences, sediment traps, earth dikes, drainage swales, check dams, subsurface drains, pipe slope drains, storm drain inlet protection, and temporary or permanent sedimentation basins.
28. **"Soil"** means the unconsolidated mineral and organic mineral material on the immediate surface of the earth.

29. **"Stabilized"** means the exposed ground surface has been covered by staked sod, riprap, wood fiber blanket, or other material which prevents erosion from occurring. Grass seed is not stabilization.
30. **"Standard Plates"** means general drawings having or showing similar characteristics or qualities that are representative of a construction practice or activity.
31. **"Storm water"** means the precipitation runoff, storm water runoff, snow melt runoff, and any other surface runoff and drainage (defined in 40 CFR 122.26 [b][13]). Storm water does not include construction site dewatering.
32. **"Temporary Protection"** means methods employed to prevent erosion. Examples of temporary include; straw, wood fiber blanket, wood chips, and erosion netting.
33. **"Waters of the State"** means all streams, lakes, ponds, marshes, wetlands, watercourses, waterways, drainage systems and all other bodies or accumulations of waters, natural or artificial, public or private, which are contained within, flow through, or border upon the state or any portions thereof. Waters of the state do not include storm water detention basins, or wetlands constructed for the purposes of treating storm water, which do not discharge to surface waters.

APPENDIX D

RESPONSIBILITIES

A. TRANSFER OWNERSHIP OR CONTROL

This permit may not be assigned or transferred by the permit holder. Where a new general contractor is selected after the submittal of an application, or where the general contractor changes, a new application must be, in accordance with Part I.B., submitted to the Agency at least 48 hours prior to when the general contractor begins work at the site.

B. PERMIT MODIFICATION

After notice and opportunity for a hearing, this permit may be modified, suspended, or revoked in whole or in part during its term for cause including, but not limited to, the following:

1. Violation of any terms of this permit;
2. Obtaining this permit by misrepresentation or failure to disclose fully all relevant facts; or
3. A change in any condition that requires either a temporary or permanent reduction or elimination of the authorized discharge; or
4. Minn. Rules pts. 7001.0170 and 7001.0180.

C. RIGHT OF ENTRY

The Permittee shall, pursuant to Section 308 of the Act and Minnesota Statutes 115.04, allow representatives of the; Agency, local permitting authorities, local soil and water conservation districts, or municipality which operates the storm sewer system, upon presentation of credentials:

1. To enter upon the Permittee's premises where the construction activity is occurring for the purpose of obtaining information, examination of records, conducting surveys or investigations;
2. To bring such equipment upon the Permittee's premises as is necessary to conduct such surveys and investigations;
3. To examine and copy any books, papers, records, or memoranda pertaining to the storm water discharge.
4. To sample and monitor any substances or parameters at any location.

D. CIVIL AND CRIMINAL LIABILITY

Nothing in this permit shall be construed to relieve the Permittee from civil or criminal penalties for noncompliance with the terms and conditions provided herein.

E. OIL AND HAZARDOUS SUBSTANCE LIABILITY

Nothing in this permit shall be construed to preclude the installation of any legal action or relieve the Permittee from any responsibilities, liabilities, or penalties to which the Permittee is or may be subject to under Section 311 or the Act and Minn. Stat. chs. 115 and 116, as amended.

F. LIABILITY EXEMPTION

This permit authorizes the Permittee to perform the activities described herein within the conditions set forth. In issuing this permit, the State/Agency assumes no responsibility for any damage to persons, property or the environment caused by the activities authorized or undertaken pursuant to this permit. To the extent the state/agency may have any liability for the activities of its employees, that liability is explicitly limited to that provided in the Torts Claim Act, Minn. Stat. § 3.736.

G. MINNESOTA LAWS

Nothing in this permit shall be construed to preclude the installation of any legal or administrative proceedings or relieve the Permittee from any responsibilities, liabilities, or penalties for violation of effluent and water quality limitations not included in this permit or applicable laws or regulations.

H. PROPERTY RIGHTS

The issuance of this permit does not convey any property rights in either real or personal property, or any exclusive privileges, nor does it authorize any injury to private property or any invasion of personal rights, nor any infringement of federal, state, or local laws or regulations.

I. SEVERABILITY

The provisions of this permit are severable, and if any provisions of this permit, or the application of any provision of this permit to any circumstances, is held invalid, the application of such provision to other circumstances, and the remainder of this permit shall not be affected thereby.

J. NPDES/SDS RULE

The Permittee shall comply with the provisions of Minn. Rules pts. 7001.0150, subp. 3 and 7001.1090, subp. 1.A,B,C,H,I. This permit does not require the submittal of a data monitoring report.

K. OTHER STATUTES, RULES AND ORDINANCES

The Agency's issuance of a permit does not release the Permittee from any liability, penalty or duty imposed by Minnesota or federal statutes or local ordinances, except the obligation to obtain the permit.

L. MORE STRINGENT RULES

The Agency's issuance of a permit does not prevent the future adoption by the Agency of pollution control rules, standards, or orders more stringent than those now in existence and does not prevent the enforcement of these rules, standards or orders against the Permittee.

M. AGENCY OBLIGATION

The Agency's issuance of a permit does not obligate the Agency to enforce local laws, rules or plans beyond that authorized by Minnesota Statutes.

SECTION TABLE OF CONTENTS

DIVISION 02 - SITE WORK

SECTION 02325

DREDGING

**03/98**

PART 1 GENERAL

- 1.1 DEFINITIONS
- 1.2 SUBMITTALS
- 1.3 MATERIAL TO BE REMOVED
- 1.4 GENERAL REQUIREMENTS

PART 2 PRODUCTS

- 2.1 PLANT
- 2.2 PIPELINES
- 2.3 NAVIGATION WARNINGS
- 2.4 METHOD OF COMMUNICATION
  - 2.4.1 Communication between Contractor's Plant
- 2.5 INSPECTION BOAT

PART 3 EXECUTION

- 3.1 PIPELINES
- 3.2 SAFETY OF STRUCTURES
  - 3.2.1 Utilities
- 3.3 PLANT REMOVAL
- 3.4 CHANNEL PLUG
- 3.5 PROTECTION OF VEGETATION

-- End of Section Table of Contents --

## SECTION 02325

### DREDGING 03/98

#### PART 1 GENERAL

Specific requirements for hydraulic dredging, if used, are included in this section.

##### 1.1 DEFINITIONS

- a. Plant is defined as all marine and land based equipment necessary to accomplish the work as outlined in these specifications.
- b. "Cuts" and "cut areas" are defined as those areas on the drawings in which dredging is to be accomplished.

##### 1.2 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

###### SD-01 Preconstruction Submittals

Excavation Plan; G,ENV

Methods of excavation and material handling equipment shall be submitted, including types of equipment proposed for the separable operations. Access cuts for floating plant shall be shown with estimated quantities, if used. Locations for material transfer and stockpiles shall be indicated. If hydraulic dredging is used, the Contractor shall submit information on the dredge and booster pumps (horsepower, diameter, and booster location), and the cutter (type and horsepower).

###### SD-02 Shop Drawings

Pipeline;

Indicate pipeline location, type (aluminum or HDPE), and portions floating or submerged.

###### SD-06 Test Reports

Daily Report Forms



The Contractors daily report forms shall be attached to the contractors daily quality control reports. Frequent transmittal of daily reports do not need to follow formal submittal procedures. The Contractor's standard form may be substituted, provided it contains the basic information indicated on the attached Sample Daily Report Form.

### 1.3 MATERIAL TO BE REMOVED

The material to be removed is indicated on the boring logs.

### 1.4 GENERAL REQUIREMENTS

- a. Dredged material shall not be rehandled in the water.
- b. Interference with Navigation. The dredging equipment and pipeline shall not interfere with traffic in the main river channel.
- c. Leakage Monitoring. The Contractor shall be responsible for monitoring the hydraulic dredging pipeline for leakage during pumping operations.

## PART 2 PRODUCTS

### 2.1 PLANT

Plant shall be subject to the inspection of the Contracting Officer at all times. The Contractor is responsible for supervision and direction of dredging operations, including the safe and efficient operation of plant. The Contractor shall maintain the plant, scows, coamings, barges, pipelines, and associated equipment to meet the requirements of the work.

### 2.2 PIPELINES

- a. Submerged pipeline shall rest on the channel bottom. If submerged pipeline is of buoyant or semi-buoyant material, the Contractor shall securely anchor the pipe to prevent it from lifting, under any condition, off the bottom. Pipelines shall not be permitted to fluctuate between the water surface and the channel bottom, or lie partially submerged.
- b. Floating pipeline shall be visible from a distance of 2000 feet at the water line.

### 2.3 NAVIGATION WARNINGS

The Contractor shall furnish and maintain navigation warning signs along the pipeline. Submerged pipeline shall be marked at intervals to reasonably define the pipeline location. Where the top of the pipeline and any anchor securing is higher than 5 feet below normal pool, the pipeline shall be clearly marked at intervals not exceeding 100 feet.

### 2.4 METHOD OF COMMUNICATION

#### 2.4.1 Communication between Contractor's Plant

The dredge and tenders shall be equipped with radios to provide for communication between the dredge operator, tender and other vessels. Provide a system of communication between the dredge crew and the crew at the disposal area. A portable two-way radio is acceptable.

#### 2.5 INSPECTION BOAT

The Contractor shall furnish, at the request of the Contracting Officer, a boat for the use of the Contracting Officer in inspecting, supervising, and surveying the work. When required, provide transportation for the Contracting Officer and inspectors to and from the disposal area and between the dredging plant and adjacent points on shore. The boat shall conform to the applicable requirements of the Corps of Engineers Safety and Health Requirements Manual referenced in the CONTRACT CLAUSES. The boat shall be available for use whenever the Contractor is performing work throughout the life of the contract. The boat shall be available for use by the Government or its assigns to obtain samples for the water quality monitoring program.

### PART 3 EXECUTION

#### 3.1 PIPELINES

a. Pipeline Operation and Repair. All pipelines shall be kept in good condition at all times. If a leak occurs in the discharge pipeline, immediately discontinue using the line until leaks are repaired. Remove material placed due to leaks or breaks.

b. Submerged Pipe. The Contractor shall be responsible for maintaining adequate horizontal and vertical clearances for submerged pipelines. The submerged pipe shall be monitored to ensure anchorage. All anchors and related material shall be removed when the submerged pipe is removed.

c. Shore Pipeline. Excavation or grading of the shoreline to accommodate lay of pipeline shall require approval of the Contracting Officer. No penetrations in dikes or levees will be allowed.

#### 3.2 SAFETY OF STRUCTURES

The prosecution of work shall ensure the stability of piers, bulkheads, and other structures lying on or adjacent to the site of the work, insofar as structures may be jeopardized by dredging operations.

##### 3.2.1 Utilities

The Contractor shall identify pipelines and other utilities in the vicinity of the work and insure that adequate measures are taken to avoid damage or disruption of those facilities. The government does not warrant that utility information shown on the drawings is current or complete.

### 3.3 PLANT REMOVAL

Upon completion of the work, promptly remove plant, including ranges, buoys, piles, and other markers or obstructions.

### 3.4 CHANNEL PLUG

A plug shall installed to prevent flow through the channel during dredging for the purpose of minimizing sediment transport. The plug shall be located near the channel inlet (near the submerged rock weir), or near the highway 10 bridge. Borrow may be obtained from the excavation for constructing the channel plug.

### 3.5 PROTECTION OF VEGETATION

Tree removal must be approved in writing by the Contracting Officer. Construction equipment shall not be operated in vegetated areas outside the construction limits.

-- End of Section --

**SAMPLE DAILY REPORT FORM**

CONTRACTOR \_\_\_\_\_

DATE \_\_\_\_\_

PROJECT \_\_\_\_\_

REPORT # \_\_\_\_\_

CONTRACT NO. \_\_\_\_\_

WEATHER \_\_\_\_\_

POOL EL. \_\_\_\_\_

DREDGING LOCATION \_\_\_\_\_

FILLING LOCATION \_\_\_\_\_

**OPERATING PIPELINE LENGTH:**

Floating \_\_\_\_\_

Submerged \_\_\_\_\_

Shore \_\_\_\_\_

Filling \_\_\_\_\_

Total \_\_\_\_\_

**MATERIAL TYPE:** Sand \_\_\_\_\_% Silt \_\_\_\_\_% Gravel \_\_\_\_\_% Rock \_\_\_\_\_%

**COMPILATION OF QUANTITIES:**

Daily: Volume \_\_\_\_\_ CY Area \_\_\_\_\_ SY

Cumulative Total: Volume \_\_\_\_\_ CY Area \_\_\_\_\_ SY

**NON-EFFECTIVE TIME:**

a) Changes in Discharge Line \_\_\_\_\_ hrs. \_\_\_\_\_ min.

b) Passing Vessels \_\_\_\_\_ hrs. \_\_\_\_\_ min.

c) Debris Removal \_\_\_\_\_ hrs. \_\_\_\_\_ min.

d) Suspension of work \_\_\_\_\_ hrs. \_\_\_\_\_ min.

e) Disposal Site Delay \_\_\_\_\_ hrs. \_\_\_\_\_ min.

f) Other (explain in remarks) \_\_\_\_\_ hrs. \_\_\_\_\_ min.

**OPERATING TIME:**

HOURS PERCENT

TODAY \_\_\_\_\_

CUMULATIVE \_\_\_\_\_



SECTION TABLE OF CONTENTS

DIVISION 02 - SITE WORK

SECTION 02327

DISPOSAL AND RECLAMATION

PART 1 GENERAL

- 1.1 REFERENCES
- 1.2 CONTRACTOR-FURNISHED DISPOSAL SITES
  - 1.1.1 Beneficial Use
- 1.3 SUBMITTALS

PART 2 PRODUCTS

- 2.1 COVER SOIL
- 2.2 TOPSOIL
- 2.3 ALTERNATE BORROW SOURCES AND EVALUATION
  - 2.3.1 Alternate Sources
- 2.4 CLASSIFICATION OF SOIL MATERIALS

PART 3 EXECUTION

- 3.1 GENERAL
- 3.2 STRIPPING
- 3.3 HYDRAULIC PLACEMENT OF MATERIAL
  - 3.3.1 Direction of Work
  - 3.3.2 Runoff and Sluice Water
  - 3.3.3 Effluent Containment Dike
- 3.4 HIGHWAY TRANSPORTATION OF EXCAVATED MATERIAL
- 3.5 FINISHED EXCAVATION, FILLS, AND EMBANKMENTS
- 3.6 BORROW MATERIAL
  - 3.6.1 Excavation and Borrow Pits
  - 3.6.2 Utilization of Excavated Materials
- 3.7 PLACEMENT OF COVER SOIL
- 3.8 PROTECTION

-- End of Section Table of Contents --

## SECTION 02327

### DISPOSAL AND RECLAMATION

#### PART 1 GENERAL

The work under this section includes filling, grading and other related work for placement of all excavated and dredged material. Reclamation of the disposal area is also included.

##### 1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

##### AMERICAN SOCIETY FOR TESTING AND MATERIALS (ASTM)

ASTM D 2487	(1993) Classification of Soils for Engineering Purposes (Unified Soil Classification System)
ASTM D 2488	(1993) Description and Identification of Soils

##### 1.2 CONTRACTOR-FURNISHED DISPOSAL SITES

The Offeror shall base their bid on deposition of material in the Government furnished disposal area designated on the drawings. If the Contractor elects to furnish its own disposal site(s) in addition or as a substitute to the designated relocation/placement site, then a plan shall be developed and submitted as a value engineering change proposal in accordance with contract clause 52.248-3 in SECTION 00700. The proposal shall provide written agreement from the landowner stating approval and condition of disposal. The Contractor shall be responsible for obtaining all Federal, State, and local permits for Contractor-furnished disposal areas. The Contractor shall be responsible for a water quality monitoring program that meets or exceeds the requirements and general scope of SECTION 01111, and is approved by the Contracting Officer. Material deposited in a Contractor-furnished disposal site becomes the Contractor's or landowners property.

###### 1.1.1 Beneficial Use

The Contractor will not be allowed to utilize or arrange for material to be transferred and used for beneficial purposes. For the purpose of distinguishing beneficial use from alternate disposal sites, beneficial use will be defined as material transferred by mechanical means (not hydraulic dredging) and will comprise a beneficial use, such as fill for property development or road construction, landfill cover, or aggregate supply.

### 1.3 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

#### SD-01 Preconstruction Submittals

##### Disposal Plan; G,ENV

The plan shall indicate the horizontal and vertical limits of temporary work, such as berms and access roads. The plan have a one inch to 100 foot minimum scale, with five foot contours. The Contractor shall describe the means by which he plans to contain all excavated material, dredged material, sluice and runoff water and sediment retention basins within the specified limits.

## PART 2 PRODUCTS

### 2.1 COVER SOIL

Cover soil shall be excavated from the borrow area shown on the drawings. The material shall be free of ice, snow, frozen earth, trash, debris, sod, roots, or boulders.

### 2.2 TOPSOIL

Topsoil shall be obtained from stripping in the cover borrow area. Stripping depths shall be adjusted as directed to obtain the most suitable material for use as topsoil, while obtaining the necessary quantities.

### 2.3 ALTERNATE BORROW SOURCES AND EVALUATION

Borrow materials for cover soil shall be produced from the source shown on the drawings. If the Contractor proposes to furnish materials from an alternate source, the Government will make such investigations and evaluations as necessary to determine whether or not materials with acceptable characteristics can be obtained from the proposed source.

The Contractor shall obtain from the owners the right to procure material, pay royalties and other charges involved, and bear the expense of developing the sources, including rights-of-way for hauling.

#### 2.3.1 Alternate Sources

a. Evaluation by Site Inspection. If the Contractor proposes to furnish borrow from an unlisted source, the Government will evaluate the alternate source and reply within 30 days. An investigation shall be performed by a Government geologist or engineer. The Contractor shall expose fresh soil for the full height of the face proposed for production during the field



evaluation.

b. Evaluation by Test Data. If sufficient information is not available, the Government will reconsider the alternate source if evaluation is supplemented by sampling and testing of the properties specified for the material. If the Contractor wishes to pursue the alternate source, the Government will notify the Contractor of required sampling and number of tests required. The Contractor shall be responsible for sampling and testing costs for alternate sources. The Contracting Officer shall be present during the sampling, unless waived. Information provided with the samples shall include the location and elevation from which the sample was taken. Testing shall be completed by a laboratory approved in accordance with SECTION 01451: CONTRACTOR QUALITY CONTROL. Test results and jar samples shall be furnished to the Government geologist at the District Office. This will require a 14 day evaluation period after the test results are received at the District Office.

## 2.4 CLASSIFICATION OF SOIL MATERIALS

Classification of soil materials shall be performed by the Contractor in accordance with ASTM D 2488. The Contracting Officer reserves the right to revise the Contractor classifications. In the case of disagreement, the Contracting Officer's classification will govern unless the soils are classified in accordance with ASTM D 2487. All testing completed by the Contractor in conjunction with soil material classification will be considered incidental to the contract work.

## PART 3 EXECUTION

### 3.1 GENERAL

Disposal of material into the designated relocation/placement site shall be in accordance with all permits obtained by the Government.

### 3.2 STRIPPING

Where indicated or directed, live, dead or decayed surface vegetation shall be stripped. Brush, litter, objectional weeds, roots, stones larger than 2 inches in diameter, and other objectional materials shall be disposed of as specified in SECTION: 01000 GENERAL. Topsoil shall be stripped to a 6 inch depth and stockpiled for reuse in final grading operations.

### 3.3 HYDRAULIC PLACEMENT OF MATERIAL

#### 3.3.1 Direction of Work

The Contracting Officer may require the specific placement and movement of the discharge end, the laying of shore pipe, and specific operation of tractor equipment to effect a proper disposition that is consistent with environmental constraints and permits. When the parameters of the operation are established, the absence or presence of the Contracting Officer does not relieve the Contractor of the responsibility to maintain a proper disposition operation. The Contracting Officer is authorized to

stop operations if the disposal operation is not meeting permit requirements.

### 3.3.2 Runoff and Sluice Water

Runoff and sluice water shall be contained within the limits of the relocation/placement site.

### 3.3.3 Effluent Containment Dike

A dike shall be constructed where necessary to prevent sediment from leaving the designated relocation site. Dikes shall be constructed of compacted soil with 2 feet of freeboard, a 10 feet wide top, and stable side slopes 2H:1V or flatter.

## 3.4 HIGHWAY TRANSPORTATION OF EXCAVATED MATERIAL

Trucks shall be equipped with tight fitting tailgates. Trucks shall not be over filled such that material could spill out of the box. Loading equipment shall avoid spilling material on the truck where it could be lost during transit. Any material lost or spilled in transit shall be cleaned up and transported to the disposal area. Power brooms for maintenance of haul routes shall sweep toward the center of the road, and material shall be cleaned up immediately after sweeping and transported to the disposal area.

## 3.5 FINISHED EXCAVATION, FILLS, AND EMBANKMENTS

The Contractor shall finish excavation, fills, and embankments in all areas covered by the contract project documents including adjacent transition areas. The finished surface shall be reasonably smooth, compacted, and free from irregular surface changes suitable for the application of turbing materials (the degree of finish required is that ordinarily obtainable from blade-dozer operations). Ditches shall be finished to permit adequate drainage.

## 3.6 BORROW MATERIAL

Unless specifically provided or shown on the drawings, no borrow shall be obtained within the limits of the project site without prior written approval. Necessary clearing, grubbing, and drainage of borrow pits and the disposal of debris thereon shall be considered related operations to the borrow excavation.

### 3.6.1 Excavation and Borrow Pits

Except as otherwise permitted, borrow pits and other excavation areas shall be excavated providing adequate drainage. Overburden and other spoil material shall be transported to designated spoil areas or otherwise disposed of, or used for special purposes. Borrow pits shall be neatly trimmed and drained after the excavation is completed. The Contractor shall ensure that excavation of any area, operation of borrow pits, or dumping of spoil material results in minimum detrimental effects on natural environmental conditions.

### 3.6.2 Utilization of Excavated Materials

Material removed from excavations shall be incorporated in the work insofar as practicable. No excavated material that is satisfactory for use as fill shall be wasted without specific written authorization. Material authorized to be wasted shall be stored in designated areas approved for surplus material storage and disposed of offsite. No excavated material shall be disposed of in such a manner as to obstruct the flow of any stream, endanger a partly finished structure, impair the efficiency or appearance of any structure, or be detrimental to the completed work in any way.

### 3.7 PLACEMENT OF COVER SOIL

The Contractor shall implement a method for controlling the cover soil layer thickness. The cover soil (with topsoil) must be a minimum of 24 inches to meet environmental requirements. The cover soil shall be placed in a uniform lift, in an orderly progression. To avoid tracking channel excavation material onto the cover, the cover shall proceed such that equipment does not travel on the channel excavation material. The cover soil shall be placed as soon as practicable after excavation and dredging is complete and the channel excavation material is adequately drained.

### 3.8 PROTECTION

The Contractor shall protect newly graded areas from traffic and from erosion, and shall repair settlement and/or washing away of placed fill material that may occur from any cause, prior to acceptance, and re-establish grade to the required elevations and slopes. All work shall be conducted in accordance with the environmental protection requirements of the contract.

-- End of Section --

SECTION TABLE OF CONTENTS

DIVISION 02 - SITE WORK

SECTION 02388

STONE PROTECTION (ROCKFILL)

12/99

PART 1 GENERAL

- 1.1 REFERENCES
- 1.2 SUBMITTALS

PART 2 PRODUCTS

- 2.1 STONE SOURCES AND EVALUATION
  - 2.1.1 Alternate Sources
  - 2.1.2 Acceptance of Materials
- 2.2 ROCKFILL
  - 2.2.1 General
  - 2.2.2 Production
- 2.3 SOURCE QUALITY CONTROL
  - 2.3.1 Sampling Requirements
  - 2.3.2 Rockfill Gradation Testing
    - 2.3.2.1 Riprap Test Method A
    - 2.3.2.2 Riprap Test Method B
- 2.4 STOCKPILES

PART 3 EXECUTION

- 3.1 CONSTRUCTION TOLERANCES
- 3.2 FOUNDATION PREPARATION
- 3.3 PLACEMENT OF ROCKFILL
  - 3.3.1 Layer Requirements
  - 3.3.2 Construction Methods
  - 3.3.3 Rockfill Placement in Water
- 3.4 MAINTENANCE
- 3.5 CONTRACTOR QUALITY CONTROL

-- End of Section Table of Contents --

SECTION 02388

STONE PROTECTION (ROCKFILL)

12/99

PART 1 GENERAL

1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

AMERICAN SOCIETY FOR TESTING AND MATERIALS (ASTM)

ASTM C 127	(1988; R 1993) Specific Gravity and Absorption of Coarse Aggregate
ASTM C 295	(1998) Petrographic Examination of Aggregates for Concrete
ASTM D 4791	(1995) Flat Particles, Elongated Particles, or Flat and Elongated Particles in Coarse Aggregate
ASTM D 4992	(1994) Evaluation of Rock to be Used for Erosion Control
ASTM D 5312	(1992; R 1997) Evaluation of Durability of Rock for Erosion Control Under Freezing and Thawing Conditions

CORPS OF ENGINEERS (COE)

EM 1110-2-2302	(1990) Construction with Large Stone
----------------	--------------------------------------

1.2 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

Material Sources; G, GT

The Contractor shall designate in writing only one source or one combination of sources from which he proposes to furnish stone. The Contractor shall state in writing methods of processing and

handling rockfill, and shall notify the Contracting Officer when production methods are changed.

#### SD-06 Test Reports

##### Gradation Test;

Gradation Test Results for rockfill and aggregates. Rockfill gradation testing results shall be submitted on the WORKSHEET FOR GRADATION ANALYSIS OF RIPRAP and the gradation curve (form 4055). A blank copy of each form is included at the end of this section.

#### SD-07 Certificates

##### Certified Weight Scale Tickets;

Copies of all certified weight scale tickets shall be furnished to the Contracting Officer at a frequency as directed. The tickets do not need to be formally submitted through the submittal process.

## PART 2 PRODUCTS

### 2.1 STONE SOURCES AND EVALUATION

Stone and aggregate materials shall be produced from the sources listed in SECTION 00830: ATTACHMENTS. If the Contractor proposes to furnish materials from a source not listed, the Government Geologist will make such investigations and evaluations as necessary to determine whether or not materials with acceptable durability can be produced from the proposed source. The rock supplied shall be produced from one rock formation to provide a product of uniform appearance. The Contractor shall not supply rock from various formations, or mix field stone with quarried rock, unless approved by the Contracting Officer. It is the Contractor's responsibility to determine that the stone source or combination of sources selected is capable of providing the quality, quantities and gradation needed and at the rate needed to maintain the scheduled progress of the work.

#### 2.1.1 Alternate Sources

a. Evaluation by Site Inspection. If the Contractor proposes to furnish stone from an unlisted source, the Government will evaluate the alternate source and reply within 30 days. A quarry investigation shall be performed by a Government geologist or engineer. If the source is an undeveloped quarry or if the operation has been dormant for more than one year such that the quarry face is weathered, the Contractor shall expose fresh rock for 20 feet horizontally and for the full height of the face proposed for production, prior to the field evaluation. The Government will consider service records for stone of a similar size, placed in a similar thickness and exposed to weathering under similar conditions as are anticipated for this contract. The Government may choose to accept the source based on rock classification, geologic evaluation, and service records show that the stone is durable to the satisfaction of the Government.

b. Evaluation by Test Data. If sufficient information is not available, the Government will reconsider the alternate source if evaluation is supplemented by sampling and testing. This will require an additional 60 day evaluation period. If the Contractor wishes to pursue the alternate source, the Government will notify the Contractor of required testing and evaluation criteria. Criteria for acceptance will consider criteria in EM 1110-2-2302, but will also consider characteristics of rock found in nearby quarries. Some common test procedures that may be considered include:

Unit Weight and Absorption (ASTM C 127).  
Petrographic Examination (ASTM C 295 and ASTM D 4992).  
Resistance to Freezing and Thawing (ASTM D 5312).

c. Sampling and Testing. Samples from alternate sources shall be taken by a representative of the quarry under the supervision of the Contracting Officer. Information provided with the samples shall include the location and stratigraphy within the quarry from which the sample was taken. The Contractor shall ship the samples to a laboratory identified by the Contracting Officer. The Government will be responsible for testing costs associated with one quarry per project; and the Contractor shall be responsible for testing costs for additional sources.

#### 2.1.2 Acceptance of Materials

Acceptance of a source of stone is not to be construed as acceptance of all material from that source. The right is reserved to reject materials from certain localized areas, zones, strata, or channels, when such materials are unsuitable for stone as determined by the Contracting Officer. The Contracting Officer also reserves the right to reject individual units of produced specified materials in stockpiles at the quarry, all transfer points, and at the project construction site when such materials are determined to be unsuitable.

#### 2.2 ROCKFILL

Rockfill shall meet the gradation requirements of ASTM D 6092, gradation R-60. The stone shall be well graded within the limits specified.

##### 2.2.1 General

All stone shall be durable material. Stone for rockfill shall have a specific gravity not less than 2.55. Stone shall be of a suitable quality to ensure permanence in the structure and in the climate in which it is to be used. It shall be free from cracks, blast fractures, bedding, seams and other defects that would tend to increase its deterioration from natural causes. A hairline crack that is defined as being detrimental shall have a minimum width of 4 mil and shall be continuous for one-third the dimension of at least two sides of the stone. The stone shall be clean and reasonably free from soil, quarry fines, and shall contain no refuse. Any foreign material adhering to or combined with the stone as a result of stockpiling shall be removed prior to placement. The maximum aspect ratio (greatest dimension:least dimension) of any piece of stone for size ranges shall be not greater than 3:1 when measured across mutually perpendicular axis. ASTM D 4791 shall be used as a guide to perform the test.

### 2.2.2 Production

Rockfill shall be handled and selectively loaded onto trucks in a manner to avoid segregation and provide a distribution of stone sizes consistent with the gradation band and test samples. Each truckload shall be representative of the gradation requirements.

## 2.3 SOURCE QUALITY CONTROL

Gradation tests shall be performed by the methods and at the frequency listed below. A satisfactory gradation test shall be obtained prior to any hauling and delivery of materials. All tests, including failing tests shall be submitted. Tests performed on material which do not meet gradation and shape requirements will not be counted as part of the tests required. The Contracting Officer shall be informed immediately of test results and draft copies of test results shall be furnished at the Contracting Officers request.

### 2.3.1 Sampling Requirements

The Contracting Officer shall direct the time and location of sampling, unless waived. Samples shall be taken from stockpiles or loaded trucks, and not directly from conveyers or chutes.

### 2.3.2 Rockfill Gradation Testing

a. Notification. The Contracting Officer shall be informed 24 hours before each rockfill test.

b. Testing Frequency. At least 1 gradation test shall be performed prior to delivery.

c. Sample Size. The sample shall have a minimum gross weight not less than 4000 pounds.

#### 2.3.2.1 Riprap Test Method A

Test method A shall consist of weighing all stones larger than 5 pounds in a sample. Five to seven weight classes shall be selected within the range of stone sizes. Each stone shall be weighed and recorded on the work sheet for method A. The weight of stones shall be summed for each weight class; after which calculations and a plot of the gradation shall be completed in accordance with accepted practice for soil and aggregate gradations.

#### 2.3.2.2 Riprap Test Method B

Test method B shall consist of separating the stones into 5 to 7 piles, ordered by size. The sample shall be separated on a clean, hard surface that is free of smaller stones that could become mixed with the sample. The stones shall be visually screened to place them into appropriate piles.

All stones shall be separated and placed into a pile before weighing. After separating, the smallest and largest rock in each pile shall be weighed and recorded. The stones shall be adjusted as necessary so that



the weight classes do not overlap. After adjustment is adequate and weight classes have been established, each pile of stone shall be weighed and recorded on the work sheet for method B. Calculations and a plot of the gradation shall be completed in accordance with accepted practice for soil and aggregate gradations.

## 2.4 STOCKPILES

Stockpiles shall be formed by a series of layers or truckload dumps, where the rock essentially remains where it is placed. Subsequent layers shall be started 10 feet from the edge of the previous layer so that the rock will not roll down the edges of the pile. Any stone which has become contaminated with soil or refuse shall not be put into the work unless the contaminating material has been removed prior to placement.

## PART 3 EXECUTION

### 3.1 CONSTRUCTION TOLERANCES

Work shall generally meet the required elevations, slope and grade; and the outer surfaces shall be even and present a neat appearance.

a. Subgrades. Areas on which stone protection will be placed shall be graded and/or dressed to conform to cross sections shown on the contract drawings within 2 inches above or below the neat lines. The surface shall be reasonably smooth to match tolerances normally obtained by rough grading with bladed equipment. For subaqueous construction in greater than 3 feet of water, the tolerance shall be 6 inches.

b. Layer Thickness. Any layers found to be less than 80% of the specified thickness shall be corrected. This tolerance shall only be exceeded on isolated spot checks, and if the tolerance is commonly exceeded, the Contractor shall change his construction methods to improve the quality control. If it is necessary to estimate rockfill quantities for changes, the volume shall be based on neat line dimensions and the plan dimension for thickness. A conversion factor of 1.5 tons/CY shall be used to determine quantity requirements, unless otherwise directed by the Contracting Officer.

c. Surface Tolerances. The finished surface tolerance above the neatline shall generally not deviate from the lines and grades shown by more than half (1/2) the average stone dimension of the gradation range. Rockfill that has a rough and uneven surface shall be reworked by hand to stabilize stones that wobble and are out of tolerance, except where the Contracting Officer approves use of equipment. Rearranging of individual stones shall be required to the extent necessary to obtain a well-graded distribution of stone sizes.

### 3.2 FOUNDATION PREPARATION

Foundation areas shall be excavated or filled to the lines and grades shown. Filling shall be with earth similar to the adjacent material and shall be well compacted. Immediately prior to placing rockfill, the

prepared subgrade will be inspected by the Contracting Officer unless waived; and no material shall be placed thereon until that area has been approved.

### 3.3 PLACEMENT OF ROCKFILL

#### 3.3.1 Layer Requirements

Rockfill shall be placed in a manner which will produce a well-graded mass of rock with the minimum practicable percentage of voids. The large stones shall be well distributed. The finished rockfill shall be free from objectionable pockets of small stones and clusters of larger stones.

#### 3.3.2 Construction Methods

Unsegregated stone shall be placed in a systematic manner. Rockfill shall be placed to its full course thickness in one operation and in such manner as to avoid displacing underlying material. Placement shall typically begin at the bottom of the area to be covered and continue up slope. Subsequent loads of material shall be placed against previously placed material in such a manner as to ensure a relatively homogenous mass. Final finish of slope shall be performed as the material is placed.

Placing rockfill in layers will not be permitted. Placing rockfill by dumping it into chutes, or by any method likely to cause segregation of the various sizes, shall not be permitted. Placing rockfill by dumping it at the top of the slope and pushing it down the slope shall not be permitted. No equipment shall be operated directly on the completed stone protection system.

#### 3.3.3 Rockfill Placement in Water

Rockfill to be placed under water shall be placed in a systematic manner so as to ensure a continuous uniform layer of well-graded stone of the required thickness. Stone to be placed under water shall not be cast across the surface of the water.

### 3.4 MAINTENANCE

The Contractor shall maintain the stone protection and underlying works until accepted by the Contracting Officer. When appropriate, the Contractor shall place stone protection in a timely manner to reduce risk of scour. Any material displaced prior to acceptance and due to the Contractor's negligence or neglect shall be replaced at the Contractor's expense.

### 3.5 CONTRACTOR QUALITY CONTROL

The Contractor shall establish and maintain quality control for all work performed at the job site under this section to assure compliance with contract requirements. He shall maintain records of his quality control tests, inspections and corrective actions. Quality control measures shall cover all construction operations including, but not limited to, the placement of all materials to the slope and grade lines shown and in

accordance with this section.

In addition to the Contractor's system to establish and maintain quality control for stone placement operations, the following information shall be recorded and promptly provided to the Contracting Officer on request:

- a. Record tonnage of stone placed in completed sections of the work and check quantity for compliance with design sections.
- b. Check for uniform thickness of material layers.

-- End of Section --

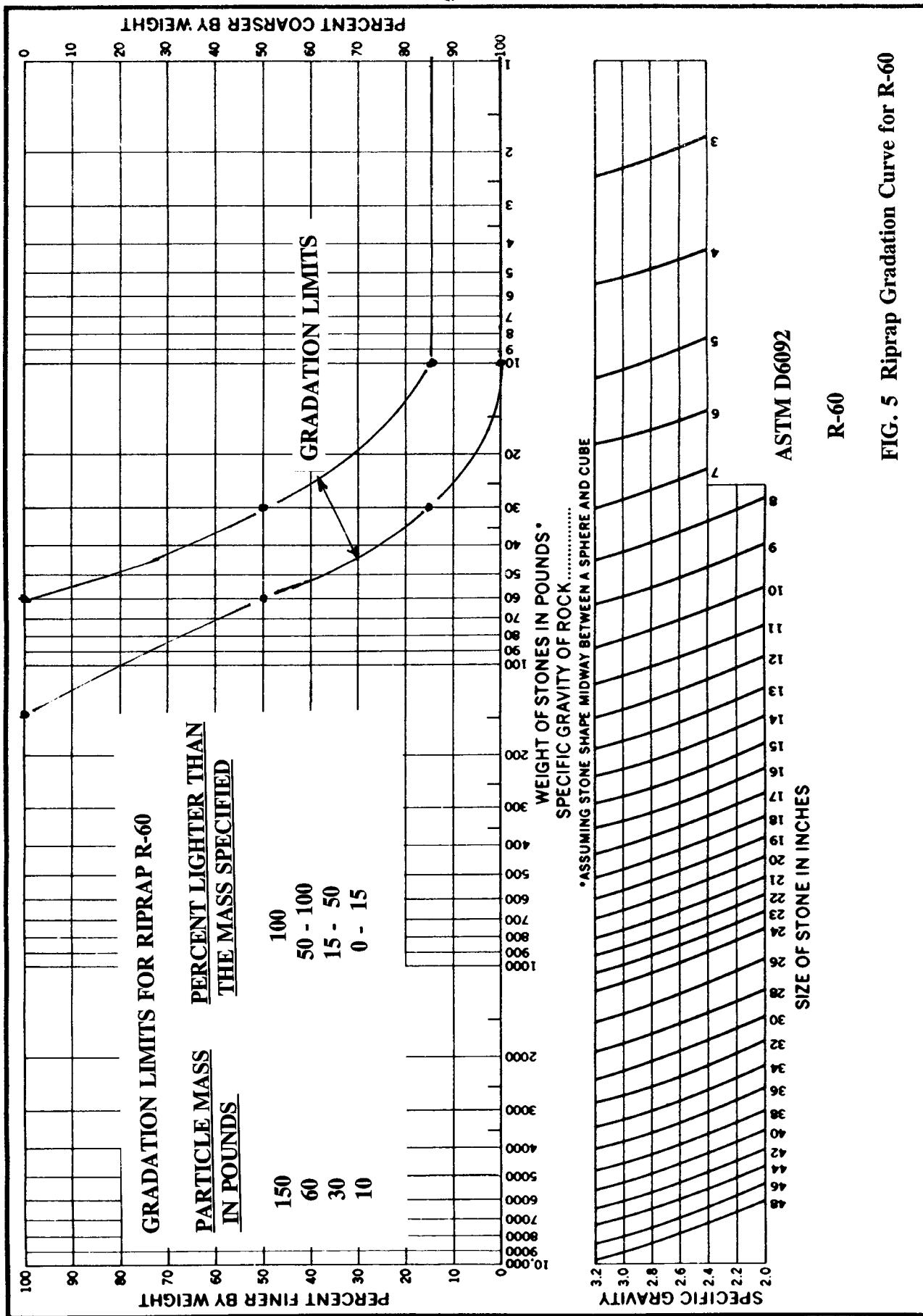


FIG. 5 Gradation Limits for Riprap R-60

<p align="center">WORK SHEET FOR GRADATION ANALYSIS OF RIPRAP METHOD A</p>	
--	--

Project Name:	Date:
---------------	-------

Riprap Type:	Test No.
--------------	----------

Source, Quarry, or Pit:	
-------------------------	--

Sample Location:	Test Made By:
------------------	---------------

Part 1. Weigh all stones larger than 5 pounds and record.
---

[illegible]

Rows (1) & (2) Enter 5 to 7 weight classes to yield approx. 75%, 50%, 30%, and 15% finer points.

Row (3) List weight of each stone. Attach additional sheets if necessary.

Row (4) Add all individual stone weights listed in each column.

## Part 2. Summary Table.

(5) WEIGHT CLASSES		(6) TOTAL WEIGHT EACH CLASS (lbs.)	(7) CUMMULATIVE WEIGHT PASSING (lbs.)	(8) TOTAL PERCENT PASSING (%)
PASSING (stone wt. in lbs.)	RETAINED (stone wt. in lbs.)			
	5 lbs.			
5 lbs.	PAN			
SAMPLE TOTAL			-----	-----

Column (5) Enter same weight classes used in Rows (1) and (2).

Column (6) Enter weights of material from Row (4)

Column (7) Add column (6) from bottom up to get cumulative weight passing.

Column (8) Divide column (7) by sample total to get total percent passing.

# WORK SHEET FOR GRADATION ANALYSIS OF RIPRAP METHOD B

Project Name:	Date:
Riprap Type:	Test No.
Source, Quarry, or Pit:	
Sample Location:	Test Made By:

Part 1. Separate rock into 5 to 7 piles, ordered by size. The largest pile should contain 2 to 5 stones. Intermediate piles between the largest stones and those smaller than 5 pounds should be approximately equal in total weight. Separate all stones before weighing.

## Part 2. Summary Table.

(1) WEIGHT CLASSES		(2)	(3)	(4)
PASSING (stone wt. in lbs.)	RETAINED (stone wt. in lbs.)	TOTAL WEIGHT EACH CLASS (lbs.)	CUMMULATIVE WEIGHT PASSING (lbs.)	TOTAL PERCENT PASSING (%)
	5 lbs.			
5 lbs.	PAN			
SAMPLE TOTAL			-----	-----

Column (1) Weight the smallest and largest stone in each pile. If weight classes overlap, adjust stones as necessary and repeat.

Column (2) Weigh the total amount of rock in each pile and record.

Column (3) Add column (2) from bottom up to get cumulative weight passing.

Column (4) Divide column (3) by sample total to get total percent passing.

SECTION TABLE OF CONTENTS

DIVISION 02 - SITE WORK

SECTION 02925

STRIPPING, TOPSOIL AND SEEDING

10/98

PART 1 GENERAL

- 1.1 REFERENCES
- 1.2 SUBMITTALS
- 1.3 DELIVERY, INSPECTION AND STORAGE
- 1.4 MEASUREMENT AND PAYMENT
  - 1.4.1 Stripping and Placing Topsoil
  - 1.4.2 Seeding

PART 2 PRODUCTS

- 2.1 SEED
- 2.2 MULCH

PART 3 EXECUTION

- 3.1 STRIPPING OF TOPSOIL
- 3.2 PLACEMENT OF TOPSOIL
- 3.3 SEEDING RESTRICTIONS
- 3.4 SITE PREPARATION
- 3.5 SEEDING
- 3.6 MULCHING
- 3.7 WATERING
- 3.8 TURF ESTABLISHMENT

-- End of Section Table of Contents --

## SECTION 02925

### STRIPPING, TOPSOIL AND SEEDING

10/98

#### PART 1 GENERAL

The disposal area, cover borrow area, Contractor staging areas, and other areas disturbed within the work limits, shall be seeded and mulched.

##### 1.1 REFERENCES

The publications listed below form a part of this specification to the extent referenced. The publications are referred to in the text by basic designation only.

##### AGRICULTURAL MARKETING SERVICE (AMS)

AMS-01 (Aug 95) Federal Seed Act Regulations Part 201

##### 1.2 SUBMITTALS

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

##### SD-06 Test Reports

##### Quantity Check;

Bag count or bulk weight measurements of material used compared with area covered to determine the application rate and quantity installed.

##### SD-07 Certificates

##### Certificates of Compliance;

A certificate of compliance shall be submitted prior to the delivery of materials certifying that seed meets the requirements specified.

##### 1.3 DELIVERY, INSPECTION AND STORAGE

Seed shall be inspected upon arrival at the job site for conformity to species and quality. Seed materials shall be delivered in manufacturer's



original, unopened containers with labels and tags intact and legible. Seed that is wet, moldy, or bears a test date five months or older, shall be rejected. Materials shall be stored in areas provided by the Contractor. Seed, lime, and fertilizer shall be stored in cool, dry locations away from contaminants.

#### 1.4 MEASUREMENT AND PAYMENT

##### 1.4.1 Stripping and Placing Topsoil

Topsoil shall be measured by the cubic yard (CY) of material in place. Payment will be made at the contract unit price and will constitute full compensation for the work of stripping the material, stockpiling the material, and spreading the material as shown on the drawings.

##### 1.4.2 Seeding

Seeding will be measured for payment by the acre (AC) seeded within the neatlines shown. Payment will be made at the contract unit price and will constitute full compensation for furnishing the materials and constructing the work complete in place as specified.

## PART 2 PRODUCTS

### 2.1 SEED

State-certified seed of the latest season's crop shall be provided in original sealed packages bearing the producer's guaranteed analysis for mixture percentage, purity, germination, weed seed content, and inert material. Labels shall be in conformance with AMS-01 and applicable state seed laws. The seed mix shall consist of one of the following seed mixes specified by the Minnesota Department of Transportation:

- 10A Modified (10B) Native Western Tallgrass Prairie
- 15A Modified (15B) Native Tallgrass Prairie (general)
- 20A Modified (20B) Native Sand Tallgrass Prairie

The seed mixes are given at the following web site:  
[http://www.dot.state.mn.us/environment/seeding\\_manual/mix\\_index.html](http://www.dot.state.mn.us/environment/seeding_manual/mix_index.html).

### 2.2 MULCH

Straw mulch materials shall consist of wheat, oat, or rye straw, hay, grass, or other plants approved by the Contracting Officer. Mulch materials shall be native to the region. The mulch material shall be air dry, reasonably light in color, and shall not be musty, moldy, caked, or otherwise of low quality. The mulch shall be seed free or fumigated to prevent introduction of weeds. The use of mulch that contains noxious weeds will not be accepted. Dry mulching material which breaks and does not bend is unacceptable. Mulch shall have a consistency for placing with commercial mulch blowing equipment.

## PART 3 EXECUTION

### 3.1 STRIPPING OF TOPSOIL

Topsoil shall be stripped or obtained from the on-site borrow source. A sufficient quantity of shall be stripped and stockpiled prior to excavating the borrow for cover soil. Topsoil shall be spread on areas already graded and prepared for topsoil, or transported and deposited in stockpiles convenient to areas that are to receive application of the topsoil later, or at locations indicated or specified. Topsoil shall be kept separate from other excavated materials, brush, litter, objectionable weeds, roots, stones larger than 2 inches in diameter, and other materials that would interfere with planting and maintenance operations.

### 3.2 PLACEMENT OF TOPSOIL

Topsoil placement shall be staged such that construction traffic for hauling material does not travel over the topsoil after it is placed. Topsoil shall be spread with a low ground pressure dozer, skid steer loaders, or other equipment capable of lightly compacting the soil and approved by the Contracting Officer. Topsoil shall be spread in one lift of uniform thickness.

### 3.3 SEEDING RESTRICTIONS

Seeding operations shall be performed only during periods when beneficial results can be obtained. When drought, excessive moisture, or other unsatisfactory conditions prevail, the work shall be stopped when directed.

When special conditions warrant a variance to the seeding operations, proposed alternate times shall be submitted for approval. Seed and mulch shall not be broadcast when winds are above 10 mile per hour. No finished construction area shall be left untopsoiled and unseeded during the winter months.

### 3.4 SITE PREPARATION

The Contractor shall verify that finished grades are in conformance with the drawings and that topsoil is suitable prior to seeding operations. Field areas shall have debris and stones larger than 3 inches in any dimension removed from the surface. Undulations or irregularities in the surface shall be leveled. Topsoil on slopes up to a maximum 3H:1V slope shall be tilled to a nominal 2 inch depth by plowing, disking, harrowing, or other approved method.

### 3.5 SEEDING

Seed shall be applied at the rate of 200 pounds per acre (approximately 25 SY per pound of seed) using broadcast seeders. Half the total rate of seed application shall be sown with sower moving in one direction, and the remainder with sower moving at right angles to first sowing. Seed shall be covered to a nominal 1/4 inch depth by disk harrow, steel mat drag, cultipacker, or other approved device.

### 3.6 MULCHING

Hay or straw mulch shall be spread uniformly at the rate of 1-1/2 tons per acre. Mulch shall be spread by hand, blower-type mulch spreader, or other approved method. Mulching shall be started on the windward side of relatively flat areas or on the upper part of steep slopes, and continued uniformly until the area is covered. The mulch shall not be bunched or clumped. Sunlight shall not be completely excluded from penetrating to the ground surface. All areas installed with seed shall be mulched on the same day as the seeding. Mulch shall be anchored immediately following spreading.

### 3.7 WATERING

Watering shall be started within 1 day after completing the seeding of an area. Water shall be applied to supplement rainfall at a rate sufficient to ensure moist soil conditions to a minimum 3 inch depth. Run-off and puddling shall be prevented.

### 3.8 TURF ESTABLISHMENT

Seeded areas shall be kept moist by watering as necessary until a satisfactory stand of turf is established. A satisfactory stand of turf shall contain a minimum of 50 grass plants per square foot, with bare spots not exceeding 2 percent of the total seeded area. Finished areas shall be protected from damage by vehicular or pedestrian traffic and erosion.

-- End of Section --